

**Annual Report**  
**Carnegie Corporation of New York**  
**1972**





Digitized by the Internet Archive  
in 2018 with funding from  
Columbia University Libraries

[https://archive.org/details/annualreport00carn\\_17](https://archive.org/details/annualreport00carn_17)

Carnegie Corporation of New York is a philanthropic foundation created by Andrew Carnegie in 1911 for the advancement and diffusion of knowledge and understanding. Its present total assets, at market value, are about \$350 million. Approximately 7 percent of the income may be used in certain Commonwealth areas; all other income must be spent in the United States.

The Corporation is primarily interested in education and in certain aspects of governmental affairs. Grants for specific programs are made to colleges and universities, professional associations, and other educational organizations.

Annual Report  
for the fiscal year ended September 30  
1972

Carnegie  
Corporation  
of New York

437 Madison Avenue, New York 10022

## **Board of Trustees 1972-73**

**David A. Shepard, Chairman**  
*One Rockefeller Plaza, Room 1250, New York, New York 10020*

**Caryl P. Haskins, Vice Chairman**  
*Former President, Carnegie Institution of Washington  
Suite 600, 2100 M Street, N.W., Washington, D.C. 20037*

**Amyas Ames**  
*Chairman, Lincoln Center for the Performing Arts, Inc.  
1865 Broadway, New York, New York 10023*

**Robert F. Bacher**  
*Professor of Physics, California Institute of Technology  
Pasadena, California 91109*

**Harding F. Bancroft**  
*Executive Vice President, The New York Times  
229 West 43rd Street, New York, New York 10036*

**Louis W. Cabot**  
*Chairman of the Board, Cabot Corporation  
125 High Street, Boston, Massachusetts 02110*

**Aiken W. Fisher**  
*Chairman of the Board, Fisher Scientific Company  
711 Forbes Avenue, Pittsburgh, Pennsylvania 15219*

**Phyllis Goodhart Gordan**  
*113 East 78th Street, New York, New York 10021*

**Francis Keppel**  
*Chairman of the Board, General Learning Corporation  
One East 54th Street, New York, New York 10022*

**Philip R. Lee, M.D.**  
*Professor of Social Medicine, Director of the Health Policy Center  
University of California, San Francisco  
San Francisco, California 94122*

**Malcolm A. MacIntyre**  
*Chairman, Audit and Incentive Compensation Committee  
20th Century Fox Corporation  
277 Park Avenue, New York, New York 10017*

**Margaret Carnegie Miller**  
*191 Fleming Lane, Fairfield, Connecticut 06430*

**Alan Pifer**

*President, Carnegie Corporation of New York  
437 Madison Avenue, New York, New York 10022*

**Howard D. Samuel**

*Vice President, Amalgamated Clothing Workers of America  
15 Union Square, New York, New York 10003*

**Charles M. Spofford, Esq.**

*Partner, Davis Polk & Wardwell  
One Chase Manhattan Plaza, New York, New York 10005*

**Franklin A. Thomas**

*President, Bedford Stuyvesant Restoration Corporation  
239 Herkimer Street, Brooklyn, New York 11216*

**Marta Y. Valle**

*Director, Continuing Education Program, Columbia University School of Social Work  
622 West 113th Street, Room 216, New York, New York 10025*

### **Finance and Administration Committee**

Amyas Ames, *Chairman*

Harding F. Bancroft

Caryl P. Haskins

Malcolm A. MacIntyre

Alan Pifer

Howard D. Samuel

David A. Shepard

### **Nominating Committee**

Robert F. Bacher

Phyllis Goodhart Gordan

Francis Keppel

Franklin A. Thomas

## **Administration 1972-73**

Alan Pifer, *President*

Richard H. Sullivan, *Assistant to the President*

David Z. Robinson, *Vice President*

Florence Anderson, *Secretary*

F. Lee Jacquette, *Treasurer*

Stephen H. Stackpole, *Director, Commonwealth Program, and Executive Associate*

Frederic A. Mosher, *Executive Associate*

E. Alden Dunham, *Executive Associate*

Barbara D. Finberg, *Executive Associate*

Eli N. Evans, *Executive Associate*

James M. Dyer, *Executive Assistant*

Avery Russell, *Executive Assistant*

Vivien Stewart, *Executive Assistant*

Alice S. Hoctor, *Assistant Treasurer*

Sara L. Engelhardt, *Assistant Secretary*

Catherine McDermott, *Personnel and Office Manager*

Katherine N. Ford, *Program Assistant, Commonwealth Program*

Helen C. Allan, *Administrative Assistant*

Caroline E. Beery, *Staff Assistant*

José Fiorenzano, *Administrative Assistant*

Barbara L. Lyons, *Staff Assistant*

Isabelle C. Neilson, *Administrative Assistant*

Karin Peterson, *Staff Assistant*

Gloria Primm, *Administrative Assistant*

Gloria Yannantuono, *Administrative Assistant*

## **Counsel**

John E. F. Wood

*Dewey, Ballantine, Bushby, Palmer & Wood  
140 Broadway, New York, New York 10015*

## **Contents**

### *The report of the president*

Revitalizing the charitable deduction.....	3
--	---

### *The report on program*

List of grants.....	15
---------------------	----

### *The report of the secretary.....*

Books resulting from grants.....	63
----------------------------------	----

### *The report of the treasurer.....*

Opinion of independent accountants.....	73
---	----

Financial statements.....	74
---------------------------	----

Schedules.....	79
----------------	----



# The report of the president



# Revitalizing the charitable deduction

For more than half a century, almost as long as the United States has had a constitutionally valid income tax, the American taxpayer has had the right to reduce his taxable income by the amount he gives to charity. There was, apparently, little public or Congressional debate when this provision was first enacted in 1917; nor was there much in subsequent years. The deduction was simply accepted as something that was naturally good, both for the taxpayer and the country. Recently, however, this hitherto well-accepted feature of the Internal Revenue Code has become the object of some sharp questioning, to a point where its continued existence could be in doubt. While no legislation respecting the charitable deduction is presently under consideration or pending, the debate over it seems to be gathering momentum. Those who believe that this feature of the income tax represents sound public policy must look to its defense, or it may well be allowed to lapse in some future round of national tax reform.

Why has the charitable deduction suddenly become subject to doubt after so many years of public acceptance? There are probably two explanations. At the obvious level, there is the disenchantment of a growing body of citizens with the entire tax system because of its regressiveness and hence inequity toward lower income taxpayers. Given this situation and the fact that the great majority of low and moderate income taxpayers now make use of the standard deduction on their income tax forms, and are encouraged by government to do so, a special deduction for charitable giving is bound to seem to many taxpayers like a "loophole" designed principally to benefit the rich. The fact that the tax "savings" involved in charitable gifts stimulated by the charitable deduction go to the recipient institutions and not into the pockets of the donors is easily misunderstood.

At a deeper level, however, it is possible that public attitudes, not just toward the charitable deduction but toward charity itself, may have undergone a transformation. The time-honored concept of private benevolence for the public good, once widely respected in this country, may command less universal respect today than heretofore. To some Americans, charity has apparently become uncoupled from the notion of *public* benefit and tied to the idea of *private* advantage and privilege. To others, it is increasingly seen as anachronistic and even offensive in a society where the concept of citizens' rights to governmentally provided services is constantly expanding.

What is clear, certainly, is that there is considerable public ignorance of the role which the charitable sector plays in our national life and a kind of pervasive indifference to its fate. While it is true that private gifts to the institutions which make up this sector have increased substantially in recent years, these have been more than offset by inflation and rising costs, with the result that the financial position of the charitable sector has been seriously weakened in relative terms. The issue, however, is not just financial, important as that is. It is also moral and philosophical, having to do with the very nature of our society.

From another direction, the attack on the charitable deduction comes from a small but influential group of tax reformers, who are themselves specialists in tax law. Their indictment, as one analyst of the reform movement has put it, has three counts—"impropriety," "inefficiency," and "inequity." Impropriety stems from the view that charitable giving is actually no more than one form of consumption expenditure, equivalent, let us say, to going bowling, buying a boat, or taking a vacation. Why should the citizen who gets his pleasure from making donations to charity benefit over the one who prefers to spend his disposable income on some other form of "pleasure"? Assuming equal income, each should be taxed the same.

Inefficiency relates to the lack of firm evidence that the existence of the charitable deduction is, in fact, efficient in stimulating donations to charity beyond what the taxpayer would give anyway. The government is, therefore, seen as foregoing tax revenue without a proven equivalent benefit to charity.

The third count—inequity—has to do with the way the charitable deduction affects taxpayers with different levels of taxable income in differing ways. Because of the way the graduated bracket system operates, a low income taxpayer has little or no incentive to give and gains nothing or very little in tax "savings" from doing so. The middle income taxpayer has some incentive and gains some tax "savings," the upper income taxpayer has quite a bit of each, and the very rich taxpayer a great deal. Surely, say the reformers, it is illogical and unfair for the government to subsidize most heavily the charitable donations of those who can best afford to make them.

In addition to these specific criticisms of the charitable deduction, some of

the tax reformers have a broad philosophical objection to federal “tax expenditures” generally. They argue that all of the numerous features of the Internal Revenue Code which, for economic incentive and other reasons, permit corporations and individuals to escape taxation, must rightfully be regarded as expenditures under the federal budget—expenditures, however, which are not subject to the discipline of Congressional review and appropriation.

A better system, they contend, would be one that achieved the same intended purposes by substituting for these tax expenditures direct appropriations, authorized under new legislation. In the case of the charitable deduction, the substitute might be direct federal support of charitable institutions, except, of course, churches—grants to which would be clearly unconstitutional. Alternatively, some system of matching grants might be devised where the charity to which the taxpayer had made a donation would qualify for a grant from the Federal Government. The sum total of these matching grants would then have to be appropriated each year by Congress.

Implicit in this twin attack on the charitable deduction by populists, old and new, and by tax reformers seem to be several far-reaching, negative assumptions about the nature of charity and its role in American society. When stated explicitly, these assumptions are deeply disturbing.

The first assumption has been indicated, namely that the several prerogatives which charity enjoys under our present tax arrangements constitute a system of privilege, a system which benefits the rich at the expense of the poor and those of modest income.

The second assumption is that government has first claim on every citizen's income, and what it does not take from him is left as an act of grace. Permitting the deduction from taxable income of amounts given to charity is, therefore, no more than a demonstration of sheer generosity to the taxpayer by government. It could, and probably should, tax him on his full income, but as an act of *noblesse oblige* it chooses not to in this case.

The third assumption is that the governmental “portion” of a gift to charity, resulting from the charitable deduction, is actually a public subsidy to the recipient institution. By virtue of this subsidy, government has standing, that is, rights and responsibilities, in regard to that institution. No longer can it be seen as wholly private.

The fourth assumption is that decision making by legislative bodies which are “accountable” to the people at large is preferable to private choice when it comes to the channeling of funds to activities which are intended to be of public benefit. The charitable deduction is considered basically wrong because it rewards private initiative for the public good rather than stimulating government to take increased responsibility. In fairness, it should be noted that not all tax reformers share this point of view.

### *The nature of charity*

Because “charity” is susceptible to various definitions in popular usage and, to many people, suggests the outdated and paternalistic notion of “Lady Bountiful,” it may be useful to quote the Internal Revenue Code regulations defining the term. The regulations state that, for federal tax purposes, “charity,” in general, comprises activities having educational, literary, religious, or scientific purposes. They go on to say, specifically, that “charitable” also includes:

Relief of the poor and distressed or of the underprivileged; advancement of religion; advancement of education or science; erection or maintenance of public buildings, monuments, or works; lessening of the burdens of Government; and promotion of social welfare by organizations designed to accomplish any of the above purposes, or (i) to lessen neighborhood tensions; (ii) to eliminate prejudice and discrimination; (iii) to defend human and civil rights secured by law; or (iv) to combat community deterioration and juvenile delinquency.

Charity, it will be seen, covers a very broad range of activities carried out by a great variety of institutions, *all* of which are deemed to be of benefit to the community. The concept, which connotes both the act of giving and the institutions established for purposes recognized as charitable, is of course an ancient one, antedating by centuries the settlement of North America. In Britain, whence the concept came to the American Colonies, charity has a well-defined status in law, and a tax on the income of charity would be considered unconstitutional on the grounds that property, having been set aside for one “public” purpose, could not then be taken by government for another. In our own country charity has a constitutional position in the law of many of the states. Because it was considered a matter for the states to deal with, no mention of it was incorporated in the Federal Constitution. Indeed, issues affecting charity hardly arose at the federal level until a national income tax was adopted, and it then seemed perfectly natural, so firmly was the concept established as being in the public interest, simply to exempt charity from the tax, and, shortly thereafter, to exclude gifts to charity from taxable income.

Given the historic and true character of charity—the gift of money or property for *public* benefit—there are certain self-evident propositions about it which stand out in sharp contrast to the assumptions underlying the current attack on the charitable deduction.

The first of these propositions is obvious—that charity, by its very nature, must serve the public welfare. It can have no other purpose. If it does, it simply is not charity.

The second is that private charitable action, while not intrinsically superior

to governmental action, nonetheless provides certain qualities which are indispensable to the humane, enlightened, and free society, which is the American ideal. Charitable institutions can provide diversity, free choice, and competition. They can experiment and they can set standards. They can enter fields too controversial for governmental bodies and can monitor governmental performance. They can fill vital gaps in publicly provided services. They can offer the means for participation by lay citizens in social action. They can help to safeguard intellectual and artistic freedom and civil liberties. And, finally, they can engage in the definition and preservation of the society's highest values, especially those of a spiritual and religious nature.

The third proposition is that since the purpose of government is to promote the general welfare, in the broadest sense of the term, it is as legitimate for government to encourage private charitable initiative for the public good as it is to legislate governmental programs to this end. Indeed, government has an obligation to pursue *both* courses.

The fourth proposition, which follows from the third, is that there are many ways for government to encourage charity. It can make charitable organizations exempt from taxation. It can create a stable legal framework within which charity can operate with assurance. It can regulate and supervise charity in such a way that the public has confidence in it. It can help create a favorable climate of public opinion by making clear in its actions and statements that it considers charity a public good. Finally, it can stimulate individuals, estates, and corporations to contribute to charity through special arrangements in the tax system. Each of these forms of encouragement is entirely legitimate.

#### *The present debate*

There seem to be current today, then, two antithetical sets of views about the nature of charity, and beyond that about the nature of American society. The first set says that the tax benefits accorded charity are no more than a system of privilege for the wealthy; that government's failure to tax income given to charity is simply an act of grace on its part and, moreover, constitutes a public subsidy to the recipient private institutions, making them less than fully private; and, lastly, that governmental encouragement of charitable giving is wrong because it promotes private rather than public initiative for the public welfare.

The second set says that charity by its true, historical nature exists entirely for the public benefit and has no other nature or purpose; that charitable institutions provide certain qualities which are indispensable to the building and maintenance of a humane, enlightened, dynamic, and free society; that since government's most fundamental purpose is to promote the general welfare, it has an obligation to use every available means to this end, in-

cluding the furthering of private charitable initiative for the public good; and that there are many legitimate ways to do this, among them provisions in the tax system which encourage gifts to charity.

While, admittedly, neither populists nor tax reformers would claim to advocate the total abolition of charity at the present time, nor would those who defend it consider it to be above criticism, it seems clear that a major issue has been joined in the society which may come to a head in part in the next few years over the future of the charitable deduction. It is the issue of whether or not we believe private, charitable initiative for the public good is an essential feature of our way of life, and whether, therefore, we take public actions that strengthen it or weaken it.

### *Revitalizing charity*

While it is, perhaps, debatable whether antipathy or just ignorance and indifference is the more accurate way to characterize the current public mood toward charity, clearly the time has come when steps must be taken to rehabilitate and reinvigorate this basic concept in our national life. Wherever charity is misunderstood, efforts must be made to explain it. Wherever it is operating under a cloak of secrecy, it must be brought into the open. Wherever it is tainted by private self-interest, it must be purified. Wherever it is serving to perpetuate unwarranted privilege, it must be made more democratic. Wherever the arrangements of the tax system which help to support it can be made more equitable, this should be done. In short, if charity is to be uncoupled in the public mind from the idea of private advantage and privilege and reunited with its purpose of serving the general welfare—where it historically belongs—it must undergo further revisions and improvements and be brought closer to greater numbers of people.

Among possible revisions it would seem that none is more needed than changes in the charitable deduction—to make it more equitable to all taxpayers and to enable the support of charitable organizations and institutions to become a more democratic affair. No doubt there are a variety of ways to accomplish this. The following plan is put forward simply as one possibility, with no other purpose than to stimulate serious discussion and debate, and to generate other proposals as to how the charitable deduction might be substantially improved and its position thereby strengthened in our national life.

### *The proposal*

Under present law, any taxpayer who itemizes deductions on his federal income tax return is allowed to subtract from taxable income the amount of his charitable donations up to one half of his income. The marginal tax rate for individuals now ranges from a low of 14 percent to a high of 50 percent

for income derived from salary and wages, and 70 percent for unearned income. Thus, the effect of the charitable deduction provision is to give the taxpayer a tax break of from 14 to 70 percent of the amount he gives to charity, depending on his tax bracket. Another way to portray this is to say that the government subsidizes 14 percent of a poor man's personal giving, 70 percent of a rich man's, and somewhere in between for the others. For those not choosing to itemize deductions on their tax returns, an unspecified allowance for charitable donations is presumably included in the standard deduction.

What is proposed is simply that every taxpayer, whether or not he itemizes and whatever his tax bracket, be treated as if he were in the highest, or 50 percent, marginal bracket for salary and wage income for purposes of his charitable contributions. The effect of this, obviously, would be to give every taxpayer a 50 percent tax credit for his charitable donations. A person giving \$200 would, for example, get \$100 automatically knocked off his tax bill. For the sake of simplicity, this would be entered on the tax return as a tax credit after all other computations had been made, although in spirit it would remain a deduction and would have to be supported by the submission of an itemized list of contributions.

To ensure that this plan does not result in a reduction in charitable giving by those whose income is essentially unearned and who may be in a bracket higher than 50 percent, it is proposed that each taxpayer be given a choice either of filing under the present system or under the new 50 percent tax credit system, whichever benefits him most. Present ceilings on charitable contribution deductions as a proportion of taxable income would also be retained.

#### *Possible criticisms*

One can readily foresee some of the criticisms that will be made of this proposal. Those who believe that any form of indirect public expenditure through tax deductions is bad policy will regard it simply as continuing down the wrong road. The difficulty with this criticism, however, is that although charitable institutions do receive public funds, under careful controls, through grants and contracts, no system for general, direct governmental subsidization of these institutions has ever been devised that does not threaten to compromise their autonomy. One can argue, therefore, that an absolutist approach to this issue is neither necessary nor right. Indirect public expenditure through tax deductions may be bad policy in regard to some objectives but is good policy in regard to the support of charity.

Other critics will emphasize the loss of revenue that the proposal would entail for the Federal Government—about \$4 billion if it had been in operation for 1971. They will say it is not feasible unless compensated for by a

general rise in tax rates (especially at the higher income levels) or a cut in the standard deduction, or both. This, of course, will be a powerful argument in a time of national budget deficits. The answer here lies in the realm of values. If one believes that private initiative for the public good is as fundamental to the American concept of a democratic society as governmental action, the "loss" on the governmental side of the ledger will be seen as a gain on the private side and of equal benefit to the general welfare. The "loss," therefore, does not have to be made good by a raising of tax rates. Some lower priority federal budget item will simply have to be dropped in the interests of a step that helps to redress the overall balance between governmental and private initiative in the society.

Others will say that while the proposal goes some distance toward making the present system fairer, it does not go far enough. In particular, it does nothing for the person whose income is so low he pays no tax at all. This is true but hardly relevant. One must, after all, be a taxpayer at some level to be disadvantaged or discriminated against in relation to wealthier taxpayers who benefit most from the charitable deduction. These critics will also say that allowing the taxpayer with sufficient unearned income to place him in a tax bracket above 50 percent to continue to deduct according to the old system simply perpetuates a special privilege for the rich. This may be true, but the proportion of taxpayers affected is minute and the revenue loss to government involved apparently only about \$200 million, whereas the capacity of the very rich to make large capital donations, particularly to voluntary hospitals and private educational institutions, is a matter of the greatest social importance.

Others will point out that the feature of the proposal which requires those claiming a charitable deduction, in addition to the standard deduction, to itemize their gifts will further complicate administration of the income tax both for government and for the taxpayer. Again, this is true. But is it really much of an imposition on the taxpayer, in return for the advantages he gains, to set down on his tax form the names of the charities he has given to and the amounts? And as to "inconvenience" to the Internal Revenue Service, governmental bureaucracies exist to serve the public, not their own convenience. There is no reason to suppose that the IRS would see this otherwise, if the public benefit implied was sufficiently clear.

Still others will object that the proposal seems to provide an opportunity for a double deduction for the same charitable gifts by those who use the standard deduction, and since this now includes some 63 percent of taxpayers, the objection, it will be said, is of some consequence. It is impossible to assess fully the validity of this criticism because, under the present system, there is absolutely no way to determine whether any charitable donations are, in fact, made by those who take the standard deduction. The provision of the

standard deduction assumes this but offers no incentive for it. Indeed, the government, in effect, tells the taxpayer it doesn't really care whether he gives to charity or not. It will give him the deduction anyway.

Nevertheless, if this criticism is considered a serious fault in the proposal, one possibility would be to amend it by reducing the standard deduction, for those who take advantage of the new tax credit plan, by the amount of their charitable contributions. This would not only prevent the double deduction but would reduce the revenue loss to government by about one billion dollars. The incentive for giving would, of course, also be somewhat reduced, but perhaps not seriously so, as the taxpayer would still benefit considerably over the present system. If, for example, he were in the 14 percent bracket and gave \$400 to charity, he would be liable for \$56 in tax on this amount but would receive a \$200 credit, for a net advantage of \$144. For a taxpayer in the 20 percent bracket the net advantage would be \$120. Indeed, a taxpayer would have a net advantage until he reached the 50 percent bracket (presently \$44,000 on joint returns).

Finally, some critics will argue that since there is no firm evidence that tax advantages do act as an incentive for charitable giving, except at very high income levels, there can be no assumption that the proposal will produce a significantly increased flow of funds to charity. The fault with this objection is that it is purely speculative. No one can predict what the response of taxpayers would be to a new plan such as this. Some would probably be stimulated to give more, some not. However, it seems quite possible that since the number of taxpayers benefiting from the new provision will be very large indeed, in fact more than 99 percent of all taxpayers, the aggregate return to charity would be quite considerable, perhaps several billion dollars annually. One would be banking here on the psychological impact of three factors: the effect on the average citizen of making the charitable deduction fairer, the visible attractiveness of a tax credit, and the strong reaffirmation of the government's approval of charitable giving inherent in its adoption of the new plan. Whatever the increase in annual giving proved to be, there would, it must be remembered, be an additional revenue loss to the U.S. Treasury of half that amount above the \$4 billion loss in the present level of giving.

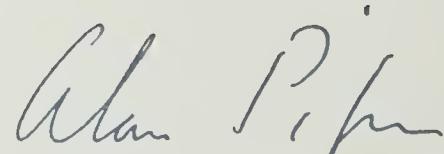
#### *Advantages*

The advantages in the new plan proposed here could be very considerable. Obviously, it would be a significant move toward making the charitable deduction provision fairer. Tax brackets would no longer make any difference in the tax liability of all taxpayers who made use of the new credit system, and, no matter what the level of income earned by taxpayers, government would be "matching" their charitable gifts equally. Not only would this increased equity be a worthwhile objective in itself, but it might also serve to

reverse the present drift toward total abolition of the deduction, with its disastrous consequences for charitable institutions such as private colleges, voluntary hospitals, symphony orchestras, museums and certain welfare organizations. It might also, as indicated above, increase the annual income of these organizations by a significant amount. In 1971 total donations to charity from all private sources came to about \$21 billion, of which approximately \$15 billion was given by individuals. If, therefore, the new plan stimulated, say, a 25 percent increase in individual giving, the additional income available for private charitable organizations would be about \$3.75 billion.

At a deeper level, the reform, if adopted, might play a major role in helping to reinvigorate the role of charity in our national life by making it more democratic. Because the proposed tax credit would operate to the overwhelming advantage of lower and moderate income taxpayers, it would create in these sizeable groups a vast, new potential supporting constituency for charitable institutions, freeing the latter from the risk of undue dependence on the wealthy. These groups would, in effect, be a new community for private organizations and institutions to reach out to in their fund raising. Many of the possible new givers would, of course, be younger men and women on starting salaries, with a substantial potential for future giving. The value to charity generally of attracting not only the financial support but also the voluntary effort of young adults in its work cannot be overstated. In sum, the proposal's potential for widening and diversifying both the support and management of charity might go a long way in dispelling the unfortunate association that charity seems to have gained with privilege in the popular mind.

Most fundamentally, reform of the charitable deduction would be a step in the direction of decentralization of decision making in our society and the encouragement of diversity in the ways we achieve our social objectives. In short, both symbolically and in real terms, it would help to reaffirm the nation's long-standing tradition of private initiative for the public good. We are at a point in our history when the continued existence of that crucial idea is being seriously challenged. If it should continue to lose vitality and eventually disappear from the nation, much that is of the highest value, not just to the few, but to *all* Americans, will be lost with it.



Alan P. Korn  
President

# The report on program



# List of grants

During the fiscal year ended September 30, 1972, the trustees appropriated \$15,831,381. This figure includes \$834,500 for the program in the Commonwealth. The Corporation made 45 grants to schools, colleges, and universities and 66 to other organizations. In addition, five appropriations were made for projects administered by the officers.

Each of the Corporation grants made during the year under review is listed and described briefly on the following pages. To facilitate reference to these grants, they are grouped according to broad program areas.

## *Higher education*

The Corporation's program in higher education in recent years has reflected the country's growing interest in alternatives to the traditional four-year college degree. Grants have been made to a number of institutions awarding degrees or credit based on examination and on flexible, independent courses of study. Many of the programs are built around the concept of the time-shortened, or accelerated, degree—a concept which has implications both for improvement in the quality of higher education and for economy of operation, and a challenge which is considered well within the capabilities of today's more sophisticated and better prepared generation of students. Four basic approaches to the time-shortened degree receiving Corporation support this year are being tried on various campuses: credit-by-examination; year-round enrollment; the omission of one high school year; and design of a three-year curriculum.

Other significant areas of Corporation involvement have related to the current surplus of Ph.D.'s, the position of women in higher education, and the trend toward collective bargaining on campus. The Carnegie Commission on Higher Education, now entering its sixth and final year, has, over its life, received a total of \$5,567,000 in Corporation grants through its sponsor, The Carnegie Foundation for the Advancement of Teaching.

### **The Carnegie Foundation for the Advancement of Teaching      \$300,000**

Shortly after it was established in 1967 by the Foundation, the Carnegie Commission on Higher Education broadened its focus from a concentration on the problems of educational financing to include the entire range of problems facing American post-secondary institutions. It has endeavored since then, through an extensive publications program, to create general policy guidelines for the development of higher education to the end of the 20th century. Projections and recommendations in the nine special Commission reports published to date have addressed such subjects as medical education, the problems of black colleges, state and federal responsibility for higher education, new forms of post-secondary education, and dissent and disruption on campus. These reports have already been widely used by federal and state legislators and by many of the nation's educational policy makers. Because additional sponsored reports and policy statements still remain to be issued, the Commission is continuing its existence for a sixth year, with an expiration date some time in 1973.

### **The California State University and Colleges      \$451,428**

With this grant a variety of approaches to the time-shortened degree are being tested and evaluated over 18 months at three campuses within the

California State University and Colleges system. The College at Bakersfield, serving a large agricultural area, is offering self-instructional materials and "modular" courses which require varying lengths of study. The School of Behavioral and Social Sciences of San Francisco State University is revising its course offerings and developing self-paced learning materials. The College at Dominguez Hills has established a college within a college and is designing a three-year curriculum suitable for typical students. All three campuses are making use of the College-Level Examination Program (CLEP), which enables credit to be awarded on the basis of competence rather than course attendance. If these pilot programs are successful, the concepts may be extended to other colleges in the state system.

**State University of New York** \$343,760

Means of shortening the time required to earn a baccalaureate degree were discussed by representatives from interested State University institutions at a Corporation-supported conference in June 1971. Subsequent plans from SUNY campuses at Albany, Geneseo, and Brockport outlined varied programs which would enable students to enter college after the junior year of high school or to fulfill degree requirements in three years. These plans, to be fully implemented over a three-year period with Corporation funds, are intended not only to cut educational time and expense, but to stimulate greater flexibility and choice in the traditional undergraduate curriculum. Although the campuses are carrying out their programs independently, the University's central administration will be in charge of coordinating and monitoring their development and evaluating the results.

**State University of New York** \$174,680

Subsequent to the grant for time-shortened degree programs at three SUNY institutions, additional funds to broaden the range of experimentation were given to the State University for projects at the Buffalo and Fredonia campuses. Their programs add further diversity to the time-cutting experiment by calling for close cooperation between high schools and colleges. Fredonia will allow high school seniors to take some college courses. The Buffalo plan will admit a limited number of high school students who have completed the eleventh grade to the freshman year of college. Buffalo has, in addition, organized a "degree by contracts" enabling selected students to carry out an individualized study program under the guidance of faculty counsellors and teachers.

**University of Illinois** \$280,500

One of the first of the influential "big ten" midwestern universities to become seriously involved in an accelerated baccalaureate degree program, the

University of Illinois will offer three different time-saving plans. Aided by the Corporation through 1975, the University at Urbana-Champaign will conduct experiments in the early admission of high school juniors, a curriculum leading to a degree in three years, and the granting of credit by examination and by course overload. Students participating in these programs will be periodically tested against a control group of conventional four-year students, and a thorough research and evaluation program should help determine whether or not reduction in time and class attendance "weakens" the degree and thus lowers standards for graduation. If the students do as well as expected, the University will make one or more of the experimental projects the normal way to obtain a degree.

**Shimer College** \$150,000

In 1950, Shimer was one of twelve colleges to receive a Ford Foundation grant to develop and evaluate an early admissions program. Study results indicated that students who entered the college without having completed four years of high school responded well to the academic challenge and to demands for increased individual responsibility. With funds from the Corporation, Shimer is increasing the size and impact of its original successful program by expanding the enrollment of early entrants from 25 to 50 percent of the student body, by offering special course work and counselling services, and by providing the additional scholarship funds necessary to attract a diversity of students.

**Bowling Green State University** \$142,000

Ohio's Bowling Green State University is in the top ranks of those state institutions which have recently evolved from normal schools and teachers colleges. Having reached its statutory ceiling of 15,000 students, the institution is now studying means of serving more students without increasing total enrollment, of providing greater flexibility in the academic program, and of offering more undergraduate opportunity for career training. With this grant, Bowling Green will restructure the freshman curriculum so that the main goals of general education can be reached in one year rather than in the usual two years of lower division courses. These goals will be translated into measurable units of achievement which students can accomplish at their own pace. Corporation funds are supporting primarily administrative, planning and evaluation costs.

**Colgate University** \$185,000

Following its recent decision to become co-educational, Colgate University has worked out a new program for year-round operation which involves

major curricular revisions and development of an independent study plan for a percentage of its students. The revised calendar encourages more flexible patterns of teaching and learning, and is allowing enrollment to increase without further construction. Through Corporation funding, term and course structure are being reorganized and non-conventional opportunities for learning established. A special "Colgate II" project, for example, will permit many students to demonstrate their competence by whatever means they devise, and a three-year degree will be available to those with strong secondary school backgrounds.

**College Entrance Examination Board** \$800,000

In 1965, the College Entrance Examination Board (CEEB), with Corporation assistance, established the College-Level Examination Program, a national system of examinations which is now permitting increasing numbers of off-campus and residential students of all ages to earn college credit through independent study. Thirty-three general and subject examinations are currently being used in more than 1300 colleges; an important development this year has been the willingness of some large institutions to accept CLEP for credit for the full first year and sometimes the second year of work, thus shortening the time required to earn a degree. This possibility has long been of interest to the Corporation and relates to recommendations made in the Carnegie Commission report, *Less Time, More Options*. The current three-year grant will enable CLEP to become self-supporting.

**College Entrance Examination Board** \$219,750

Great Britain's Open University, which began operation in 1971, is offering exciting new opportunities to adults who have missed the chance to earn a college degree while of college age. Through the use of new educational technologies—tape cassettes, radio, television—as well as of printed information, the University's students can work on their own, or in simple local study centers. This Corporation grant to CEEB will enable the Educational Testing Service to evaluate the adaptability of this material for use in the United States. Tests will be conducted at four diverse institutions—Rutgers University, University of Maryland, University of Houston, and California State University, San Diego. If the trials are successful, the Open University plans to contract with an American publisher to distribute program materials here.

**College Entrance Examination Board** \$49,600

The Commission on Non-Traditional Study, established jointly by the College Entrance Examination Board and the Educational Testing Service, was

granted Corporation funds in 1971 to assay new, flexible opportunities for post-secondary education and to make recommendations concerning the concept of non-traditional study and the necessary steps for putting it on a sound academic footing. This supplementary grant will support further meetings of Commission members with representatives of special groups, including accrediting agencies, state colleges, liberal arts colleges, and two-year colleges.

**Educational Testing Service** \$169,500

Since the Commission on Non-Traditional Study has received no funds for special studies, the Educational Testing Service, with this grant, is undertaking several related fact-finding projects to obtain current information for the Commission and to suggest areas where long-term research will be needed. A report will cover such basic matters as the numbers and types of students who might be served by non-traditional learning programs, their interest in further education and ability to pay, the kinds of studies they would most like to pursue, and the attitudes and practices of institutions with respect to awarding credits toward a degree.

**Minnesota Metropolitan State College** \$213,500

Minnesota Metropolitan State College, a new urban institution offering the last two years of undergraduate work, has been created mainly to serve employed adults beyond normal college age. The College, which could well prove to be an important model for the extension of post-secondary educational opportunities in other metropolitan centers, provides much greater flexibility than conventional evening colleges and university extension programs. The entire community of Minneapolis-St. Paul functions as the "campus" of the new institution; individual study plans are worked out in such areas as urban liberal studies, urban administration, and urban human services; and degrees are awarded on the basis of demonstrated competence rather than through the accumulation of credit hours. Corporation funds will contribute over eighteen months to further planning and development of the College.

**New Jersey State Department of Higher Education** \$37,500

The New Jersey State Department of Higher Education has proposed an experimental institution to serve urban students. Called a "middle college," it will combine the last two years of high school and the first two years of college and emphasize vocational and technical training. Students will acquire marketable skills through individual study programs, rather than through a standardized four-year curriculum. The middle college concept may provide a useful new education option, appealing to young students

who might drop out of traditional high schools and to adults who have not had other opportunities for career training. The Corporation grant provides funds toward a feasibility study for a middle college in Hudson County, which now has neither a community college nor a vocational-technical high school.

**Vermont Regional Community College Commission, Inc.** \$98,880

With operating funds from the U.S. Office of Economic Opportunity, the Vermont Regional Community College Commission (VRCCC) was created in 1970 to develop a non-campus, vocationally-oriented education program. VRCCC is designed for adults and recent high school graduates who cannot attend other institutions because of home or job obligations, geographic inaccessibility, or financial constraints. Operating out of three regional centers, the Commission appears to have potential for meeting increasing educational needs on the associate degree level. It has organized curricula to train students for jobs where qualified workers are in demand; and the experimental, open admissions program is already providing courses for about 10,000 students. VRCCC received a Corporation grant to meet the expenses of four new administrative positions.

**New Jersey State Department of Higher Education** \$15,000

The establishment of Edison College to offer an external degree program similar to the Regents Degree in New York has been approved by the New Jersey Board of Higher Education. The two states plan to work cooperatively in an effort that might result ultimately in a regional approach to external degree granting. Funding of the project has therefore a direct link to previous Corporation support of the New York Regents Degree. This grant enabled New Jersey representatives to meet with their counterparts in Albany and to continue planning prior to the availability of budgeted state funds.

**Claremont University Center** \$250,000

Pomona, Scripps, Claremont Men's, Harvey Mudd and Pitzer Colleges, and the Claremont Graduate School are six independent colleges in Claremont, California, which have formed an association as a means of maintaining a small college environment while providing the intellectual and economic advantages of a large university. Now the leading exponent of the "cluster" organization of colleges, the Claremont group has a combined enrollment of about 5,000, although no unit has more than 1,500 students. This grant will help the colleges realize their cooperative goals. Funds are being used for long-range planning and reorganization of the colleges; a new office of chancellor for academic coordination has been established, and other measures will be taken to strengthen the central administration.

**American Association of Community and Junior Colleges** \$295,470

Upon return to civilian life, veterans have often not been fully aware of the educational benefits to which they are entitled under the G.I. Bill, or of the existence of schools and colleges which provide the kinds of educational opportunities they seek. The program for servicemen and veterans of the American Association of Community and Junior Colleges (AACJC) has been attempting for several years to link the training programs of the military with the educational services offered by the Association's more than one thousand member colleges. Public community and junior colleges are particularly suited to assist military personnel and veterans because of their nearness to military installations and separation centers, open-door admissions policies, relatively low tuition, and combined academic and vocational curricula. In part because of the activities of AACJC, there has been an enormous increase over the past two years in the number of veterans enrolled in community colleges—a figure now close to 400,000. The Corporation is renewing its support for two more years.

**University of Pittsburgh** \$227,400

Many graduate schools are still reluctant to admit female applicants whose formal education has been interrupted, and they definitely discriminate against such students in awarding fellowships or assistantships. The University of Pittsburgh's Graduate School of Public and International Affairs, which emphasizes training much-needed personnel for Model Cities and other community development agencies, is anxious to have mature women in its program. Of the 48 women already assisted under a previous Corporation grant, only one has dropped out before completing all course requirements for the master's degree. This second, and final, grant will provide about 60 additional fellowships for women students over a period of five years.

**The City University of New York** \$46,079

The "open admissions" policy at City University campuses is offering the opportunity for higher education to thousands of new students who, only a few years ago, would not have considered pursuing a B.A. degree. Many of them are inadequately prepared for college-level work and are required to take remedial courses to help them catch up with their more advanced classmates. Mina Shaughnessy, an assistant professor of English, has had particular success teaching basic writing to educationally disadvantaged students, and the officers of the Corporation have encouraged her to share her experiences and methods with others involved in similar efforts. This grant will release her full time for one year to enable her to write a handbook which will

include chapters on the writing process, teacher selection and training, a classification of writing problems, and specific curricula suggestions. The grant is also providing for research and secretarial assistance.

**Rutgers University** \$102,000

Unionization of faculty members is proceeding in public and private institutions, but there is little concrete information about its development or the consequences it may have for the future governance of universities and for faculty-administration relationships. Its own faculty affiliated with the American Association of University Professors, Rutgers University plans to conduct with Corporation support an intensive two-year study of both the history and consequences of collective bargaining within the widely unionized public higher education system of New Jersey. Assessment of faculty attitudes will be an important part of the research. This basic information should be useful to New Jersey and other states where collective bargaining is becoming an important issue.

**New York State Education Department** \$59,000

Doctoral programs have been the most prestigious and expensive part of American higher education. Nonetheless, graduate education is in trouble: financially constrained institutions of higher education are not expanding at a rate to absorb the number of Ph.D.'s available; college enrollment is expected to level off; and the appropriateness of the traditional Ph.D. degree as training for most undergraduate teaching is being questioned. The Commissioner of Education in New York appointed an Advisory Council of national leaders in higher education to make a comprehensive study of the long-term need for doctoral programs in the state. Corporation funds are paying for the expenses of Council members and other consultants. This project is one of several steps the state's universities have taken to consolidate their resources for graduate study and to improve the quality of higher education; it could well provide a model for action elsewhere.

**Harvard University** \$50,000

This grant to Harvard University will enable the sociologist, David Riesman, to complete a book analyzing a variety of academic experiments in private and public higher education. These include New College in Sarasota, St. Johns Colleges in Annapolis and Santa Fe, Hampshire College in Massachusetts, University of California at Santa Cruz, Old Westbury College on Long Island, Livingston College in New Jersey, Evergreen State College in Washington, and the College of Human Services in New York City, along with

more traditional schools undergoing change. The funds will cover travel and secretarial expenses as well as partial support for a high-level research associate, Gerald Grant.

**The Manpower Institute** \$26,525

A major recommendation of the Carnegie Commission on Higher Education is that the arbitrary division of the life cycle into unrelated periods of education and work be eliminated. The Manpower Institute, recently organized to bring together representatives from the industrial and academic worlds, and the College Entrance Examination Board have jointly been granted funds to study the feasibility of implementing a broad education-experience exchange program. After a review of existing work-study projects, CEEB is now exploring attitudes and ideas of members of educational institutions, while the Manpower Institute is concentrating upon business, labor, and government leaders. It is hoped that the combined influence of the two organizations will generate the interest and commitments needed to make an exchange program between education and work economically and educationally acceptable.

**Bluffton College** \$13,000

Through analyses of purposes and of student and alumni backgrounds, career aims, and academic characteristics, a group of Ohio institutions—Bluffton, Defiance, Findlay, Wilmington, and Edgecliffe—are undertaking a study to see whether there is a generalized “model” of small, non-elite colleges. The task of more effectively reaching prospective students, parents, and counselors, and also sources of financial support would be facilitated if the colleges could present themselves as a distinctive group differing from both state institutions and the more selective private colleges. The Corporation grant enabled the five colleges to participate in a summer study.

**University of Illinois** \$15,000

This grant supported an Anglo-American conference on higher education sponsored by the University of Illinois. Groups of British and American educators met to explore the desirability and feasibility of establishing some type of continuing relationship that would aid scholars in the field who are tackling similar problems on both sides of the Atlantic. The study of higher education is becoming as widely accepted in Great Britain as it has been in the United States, and common cultural and language ties would appear to make an association of outstanding people in the field worth considering.

**Higher Education Compact** \$15,000

Based in New York City, the Higher Education Compact is to be a new educational center offering various programs of studies which draw upon the special educational opportunities and resources available in the city. The student body will be composed of undergraduates from colleges elsewhere, who will be eligible to enroll for four-month periods of study in one of four areas—the performing and visual arts, urban studies, information and advertising industries, or urban social services—and who will be granted credit for work completed at the Compact. A number of industrial and non-profit institutions are cooperating in preparing these program offerings and in developing new ways of teaching. This Corporation grant assisted in continued planning of the Compact prior to the availability of other funds.

**American Council on Education** \$15,000

The Institute for College and University Administrators, a part of the American Council on Education, conducts week-long training seminars for recently-appointed presidents, vice presidents, academic deans and business administrators. Despite considerable publicity and recruiting efforts directed toward women, few have attended the various sessions. This underrepresentation reflects in part the relatively small number of women occupying top-level positions in academic administration, and the probable reluctance of male presidents to nominate women staff members. An additional inhibiting factor is the high cost of attending the seminars. This grant will help the American Council on Education include more women in Institute programs by providing partial financial support for those who would otherwise be unable to participate.

**The Committee on Institutional Cooperation** \$15,000

The Committee on Institutional Cooperation has eleven university members—ten large midwestern state universities and the University of Chicago. All operate university presses or their equivalent, but only the University of Chicago Press is self-supporting. The other institutions, facing a general need for financial cutbacks, must find ways to reduce the increasing deficits incurred by their smaller presses. The ten presidents have suggested that it should be possible to delegate certain common functions, such as printing and direct-mail advertising, to a central agency at a considerable saving and perhaps an improvement in quality. With Corporation support, this possibility is being investigated by a consultant experienced in publishing, who will develop recommendations and an operating plan for consideration by the universities.

**Radcliffe College** \$13,000

Although open discrimination against women in higher education is becoming less frequent, many female undergraduates are still not encouraged to make serious career choices, and those who are highly motivated find few female faculty members, administrators, or counsellors with whom they can discuss their concerns. It has been proposed that academic, career, and personal counselling could be improved by the appointment of a tenured female faculty member on selected campuses to act as a special advisor and advocate for serious women students. This and other possible solutions will be explored in a feasibility study being conducted under the aegis of the Radcliffe Institute.

**The Wright Institute** \$14,000

Established in 1968, the Wright Institute at Berkeley, California, offers a variety of consultant services to other institutions and government at all levels, and trains graduates for the Ph.D. in psychology. This Corporation grant is supporting initial planning and preparation of documents for a new project to aid colleges wishing to direct their programs toward full "human" rather than strictly intellectual development. This ideal requires freedom of communication within faculties which Institute associates hope to encourage through extended consulting, seminars, and special training arrangements.

*Early childhood education*

For a number of years, Carnegie Corporation has been supporting research, experimental programs, and other projects related to the cognitive development of infants and young children. Recently, however, the foundation has begun to take a broad look at American society's responsibility for children's health, rights, and care as well as for their education. Of particular concern is the possible impact on children of public policies and of major changes in family structures, the roles of men and women, and attitudes toward child-bearing and raising. In the belief that both private attitudes and public policies concerning the welfare and education of children will be subject to increasing national debate during the next few years, the Corporation has established a special study group, the Carnegie Council on Children. The Council intends to draw together facts from the fields of psychology, education, health, and other disciplines and interpret them to formulate recommendations about meeting the developmental needs of children today and in the future.

Other projects concerned with social and educational policies affecting children are being supported under the Corporation's continuing program in early learning. Grants are also providing for international exchanges of

information to aid American planners of early childhood programs and for experimentation with various methods of teaching beginning reading.

**Children's Television Workshop** \$500,000

October 1971 marked the nation-wide debut of *The Electric Company*, an experimental television series created by the Children's Television Workshop (CTW) to help teach basic reading skills to second graders and children in other elementary grades having difficulty learning to read. After only five weeks of broadcasting, surveys revealed that *The Electric Company* was being watched regularly by some four million children, half of them at school. Like *Sesame Street*, CTW's first program, the new reading series presents a curriculum of instruction in an entertaining format. Last year Corporation funds supported the first 26-week season of *The Electric Company*, and this year's grant will help pay for a second season. It will also support the development of printed materials for children to reinforce the lessons taught on the program. Since 1966 the Corporation has contributed over \$3.6 million to the Workshop's program development.

**Carnegie Council on Children** \$400,000

Headed by Yale psychologist Kenneth Keniston, the Carnegie Council on Children will focus on American children in their years of most rapid physical, psychological, and social growth, from conception to age nine. The Council will examine the position of children in American society—attitudes about them and where they stand on the list of national priorities. It will attempt to identify the needs of children who will live out their lives in the 21st century and to assess how these needs are currently being met through public and private programs. It will also recommend new public and private efforts where these are indicated, specifying the best means of implementation and estimating their probable cost and benefits. The Council on Children will have a membership of about eleven persons from varied backgrounds, whose experience should make a valuable contribution to the study of children and child development. This grant is supporting the first year of operation.

**Yale University** \$25,000

A preliminary planning grant enabled Kenneth Keniston to consult with many persons, including child development specialists, pediatricians, psychologists, and educators over a period of several months, to determine the feasibility of a Council on Children. Because of the numerous reports, conferences, and groups already concerned with children, particular attention was paid to the ways in which the Council's activities might differ from previous inquiries. This grant also provided for an interdisciplinary faculty

seminar convened at Yale University to obtain the sustained attention and ideas of a number of individuals noted for their research on different aspects of child development.

**Center for the Study of Public Policy** \$250,000

Although the family may continue to play the central role in the upbringing of children in this country, increasing changes in the attitudes and function of men and women suggest that parents may be open to alternative approaches to child rearing in the future. As traditional family patterns break down, fathers, other members in the community, and institutions may be expected to assume greater responsibility for children's development. To examine the range of existing child raising practices and then to project the future and how it may be shaped by different public and private policies, Christopher Jencks, with a group of colleagues, has undertaken a two-year study at the Center for the Study of Public Policy in Cambridge, Massachusetts. Their work will provide important information for the Carnegie Council on Children and should complement the Brookings Institution's study of child welfare (see below).

**The Brookings Institution** \$160,000

Policy planners in government and private organizations have urged the formulation of a comprehensive system of publicly supported child care, but there is little agreement on its possible scope, administration, financing, or beneficiaries. Are our programs—from day care to health to juvenile delinquency and justice—directed at the fulfillment of the child's potential or at other ends? To help develop answers to this and other questions, Gilbert Steiner, director of the governmental affairs program at the Brookings Institution, is undertaking with Corporation support a two-year study of public policies and programs in child care and welfare. He will analyze the objectives and achievements of current programs as well as the decision-making process behind them. He will also examine how new knowledge in areas such as health care and early learning has been used to effect policy change. From this research Mr. Steiner expects to develop short and long-term public care strategies responsive to all the factors contributing to child development. His findings and recommendations will be shared with the Carnegie Council on Children.

**University of Washington** \$80,700

Recognizing that public and private planners of child care and education in the United States might benefit from the experiences of other nations in this field, the Corporation made grants in 1968 and 1969 for an international

study of early childhood programs by local experts in twelve countries: Cuba, France, Hungary, India, Israel, Poland, Sweden, Switzerland, the United Kingdom, the USSR and Yugoslavia. An analysis of activities in the United States was also included. Under the leadership of psychologist Halbert Robinson, detailed reports have been prepared on the role of children and the family and on social institutions designed to serve them in each country. The current one-year grant will support the completion of this work for publication and will enable Mr. Robinson and his wife Nancy, also a psychologist, to write two overall analyses, one primarily for specialists in the field and one for policy makers.

**Social Science Research Council** \$5,000

Japan is one country not included in the international study whose philosophies and practices in child rearing are significantly different from those in the United States. Japanese social scientists have done considerable research on young children's social and cognitive growth, but little is known here about their findings. At the request of a group of Japanese scholars and the Japan Society for the Promotion of Science, the Social Science Research Council co-sponsored a meeting of psychologists, sociologists, and anthropologists from the United States and Japan in December 1971 to exchange ideas on preschool education and the effect of home environments on early learning. Corporation funds paid the expenses of the American participants.

**Education Development Center, Inc.** \$9,000

A group of researchers in child development from the United States and England met in London in January to share ideas and information about the growth of skills and abilities in infants and very young children and how competency may be nurtured. Jerome Bruner, of the Center for Cognitive Studies at Harvard University, was the American co-chairman. The CIBA Foundation covered the cost of the conference, which was sponsored by the Developmental Sciences Trust of England; Corporation funds provided for the travel costs of the American participants and for the editing and preparation of the materials from the conference for publication.

**Yale University** \$125,000

This grant is supporting a three-year study by William Kessen, a developmental psychologist and professor of psychology at Yale, of the relationship between thought and language during a child's first three years of life. By closely watching a small number of children in their homes and in a laboratory, Mr. Kessen and his colleagues expect to demonstrate the variations that exist from one child to another in the way the child begins to discover language

and the use he makes of words; the differing effects of adults' acceptance or correction of his early attempts to talk; his success in using language to influence his environment; the way he identifies, classifies, and names objects, and other related behavior. The grant has enabled Professor Kessen to engage a full-time research associate and other research and secretarial assistance.

**Mary Holmes College** \$48,500

The Mississippi Institute for Early Childhood Education (MIECE) in Jackson is an academic extension of Mary Holmes College founded in 1970 to provide training in early childhood education for Head Start teachers and aides in Mississippi. Its two-year program combines basic education courses with on-the-job experience, leading to an Associate in Arts degree. Although MIECE receives major support from the Field Foundation, additional money was needed for materials. Corporation funds are enabling the Institute to establish a library of resource materials for use by MIECE faculty and trainees and by community residents. The collection is to include texts on educational psychology and child development, children's books and records, books on black history and literature, audio-visual materials, and journals and periodicals.

**Stanford University** \$15,000

Robert Calfee, an experimental and mathematical psychologist at Stanford University, has hypothesized that the ability of a child to learn to read is determined by whether or not he has mastered a few fundamental cognitive skills. He further holds that teachers can help a child overcome reading difficulties once they understand the precise nature of the problem. Mr. Calfee's research has led him to develop tools and techniques that will enable teachers to diagnose children's reading problems and to guide them in the proper treatment. At the same time he is conducting research on cognitive processes involved in learning to read in children between the ages of four and seven. The preliminary grant enabled Mr. Calfee to continue his work throughout the summer.

**The Circle, Inc.** \$14,583

Circle Associates is the consulting and research division of The Circle, Inc., a community development organization in Roxbury, Massachusetts. This grant will enable Circle Associates to plan a demonstration project to improve the reading skills of black children aged five to eleven through the use of curricula on black history and culture. Six specialists on the Circle Associates staff will develop a set of classroom materials, a program to train

teachers in public and independent community schools in the use of these materials, and a project evaluation model.

#### *Elementary and secondary education*

For the past year the Corporation has been exploring ways of making a more concentrated contribution to the improvement of our schools at the elementary and secondary level. Although program priorities are still evolving, a number of grants have been concerned with helping lawmakers, administrators, parents, school board members, and other citizens to make fully informed decisions on complicated educational issues, particularly in the area of school finance. Some grants have been made enabling formerly excluded groups to have a greater voice in selecting educational programs for their communities; others have focused on educational policy. The Corporation also supported programs to help school personnel improve their performance on the job and to narrow the distance between educational research and classroom practices. Among these efforts are in-service training through resource centers and workshops where teachers can meet to share problems and skills, test new materials and methods for classroom use, and become learners themselves. As in previous years, the Corporation made a few grants for basic research on the learning process.

#### **The Rockefeller University** \$250,000

With Corporation support, Michael Cole, a psychologist at Rockefeller University, and two colleagues are carrying out a program of comparative research which will attempt to provide basic information about the relationship of a child's cultural milieu to his intellectual development. The investigators will observe children's performance in various learning tasks in three widely different settings over the next three years: the experimental laboratory at Rockefeller, selected neighborhoods in New York City, and Yucatan, Mexico. They hope, through this work, to find out why children who exhibit extraordinary skill or prowess in one learning situation have difficulty applying their abilities to situations which appear foreign to them. The research group will use this information to develop "models" of different learning styles which may be helpful to schools in shaping their educational policies and programs.

#### **The Urban Institute** \$220,000

Many states face major changes in their public school financing programs as a result of recent legal challenges and court rulings affecting the source and distribution of funds. Few state and metropolitan agencies, however, have the analytic capabilities to consider all the financing possibilities and their implications for particular districts or schools, for different groups of students,

or for various classes of taxpayers. Under a one-year Corporation grant, an Urban Institute research team composed of lawyers, economists, and program analysts will assist administrative and legislative units in individual states in evaluating existing methods of financing elementary and secondary education and in developing alternative plans. A key question the team will confront is whether the various alternative tax and distribution plans will fulfill the requirement of court decisions prohibiting district wealth as a determinant of the level of per pupil expenditure for education.

**Advisory for Open Education** \$209,000

The Advisory for Open Education in Cambridge, Massachusetts, administers regional teacher training workshops to help preschool and elementary school teachers develop and test imaginative and effective curriculum materials and techniques for classroom use. This two-year grant is enabling the Creative Teaching Workshop (CTW), one of the Advisory's regional branches serving the New York metropolitan area, to establish satellite teacher resource centers in three New York City schools. The grant is also helping to continue CTW's own workshops and to increase its in-classroom consulting services for elementary school teachers. Part of the funds in addition were used to provide fellowships for eleven New York City teachers who attended a six-week training course in open education theory and practices at the Prospect School in Vermont last summer.

**Center for New Schools** \$196,000

In recent years many "alternative" schools have been launched throughout the country by both public systems and private groups. Geared largely to students not being reached effectively by traditional means, most are informal and characterized by student involvement in decision making and integration of academic and real life experiences. The Center for New Schools was established in 1971 to help make public education more open and responsive by strengthening alternative schools within public school systems. This grant will enable the Center to offer technical assistance and advice to public school systems in five Midwestern cities interested in planning, developing, and evaluating the effects of such schools on the pupils and on the quality of urban education. By concentrating on urban schools in one geographic area the Center hopes to reach the systems most visibly in need and to have the greatest impact on educational policy.

**Education Development Center, Inc.** \$85,000

It is becoming increasingly evident that the conduct of an effective open classroom requires even greater planning and energy than that of a formal

classroom. The Education Development Center (EDC) in Newton, Massachusetts, a leading producer of educational materials, recognized early the need for solid information to aid teachers, administrators, and others in understanding the theory of open education, in making informed decisions about trying it, and in implementing open classroom methods. Over the past few years it has built up an extensive library of publications and films about open education and descriptions of teacher's plans. To meet the growing demand for these materials, EDC is establishing a publications office with a one-year Corporation grant. It will answer requests for information, sell and rent publications and films, and distribute a catalogue of the items it offers.

**Queens College** \$70,000

The New York decentralization law is an important experiment to see if urban education can be made more governable and more effective if broken into discrete, accountable units. In order to test that hypothesis it is necessary to increase the participation of those constituencies which were previously alienated from the decision-making process—the racial and ethnic minorities, the poor, and the lower-middle class. For several years local school board members and parent and community groups seeking this involvement have received advice on such matters as personnel selection, evaluation of curricula, legal procedures, and budget planning from the Institute of Community Studies at Queens College, New York. With Corporation funds the Institute will extend this assistance to a greater number of local groups over the next two years.

**Lawyers' Committee for Civil Rights Under Law** \$50,000

The effectiveness of decentralization also rests on the ability of the local school boards to understand and exercise their rights and responsibilities under the decentralization law. The Lawyers' Committee founded the Community School System Project two years ago to advise board members on the ways they could affect various management and policy decisions in their districts. The Project has trained a corps of lawyers specifically in New York's decentralization law, has helped local boards determine how legal assistance may be useful, and has represented boards in negotiation and litigation involving the law's interpretation. It is also preparing a manual on decentralization. This grant is supporting the Project's consulting and educational activities for two years.

**Nairobi College, Inc.** \$15,000

An important question facing the states in the debate over various school financing approaches is how minorities and the urban and rural poor will be

affected. This Corporation planning grant is assisting a group of scholars, lawyers, and community organizers associated with Nairobi College, a private black community college in East Palo Alto, California, in developing a project to analyze these implications in the state of California. The Nairobi group will also investigate ways to communicate its findings to the communities involved so they can make their concerns known to decision-makers.

**The Rand Corporation** \$15,000

Analyses of the Coleman Report and other major educational studies have led to the conclusion that differences between schools make far less difference in the educational growth of children than was commonly believed. Some opponents of this view say that while most public schools in the United States admittedly do not vary much and thus should not be expected to have large differential effects, there must be exceptions whose successful characteristics might be replicated. Aided by Corporation funds, a group of educational researchers at the Rand Corporation is exploring the feasibility of conducting a study to identify and analyze such schools. If at the conclusion of the exploration it can be demonstrated that unusually effective schools exist and can be measured, further research may be planned.

**The School District of Philadelphia** \$14,930

This grant is supporting a field test in Philadelphia public schools of an idea called "dual audio television." The basic notion is that the educational value of a regular television program can be enhanced by adding a second audio channel which the viewer can receive through an inexpensive transistor radio or other device. The second channel provides a commentary, asks questions, and interprets the material in the television program during its momentary "silences." The technique has had promising results with children in experimental settings. The field study, done with cooperating Philadelphia television and FM stations, will test the effectiveness of the idea with real children's programs viewed at home, and should develop it to the point where its promise can be judged by those who might carry the concept further.

**Cornell University** \$7,425

Michael Cole is one of a number of psychologists looking beyond conventional explanations for the learning differences of school children from various ethnic groups. Dalton Jones, a psychologist at Cornell, has theorized that blacks in their early years develop learning strategies based on their experiences, while most schools approach the development of intellectual skills according to explicit verbal rules. While the latter is successful with

essentially white, middle class children, it does not apply, he maintains, to black children, or to white children from backgrounds usually described as culturally or educationally deprived. A Corporation planning grant is enabling Mr. Jones to prepare a study that will test his hypothesis by measuring the ways such children learn and solve problems in their home environments.

#### *Opportunities and rights*

One of Carnegie Corporation's major activities is the support of educational programs to help minority groups obtain equal opportunity and gain their rights as citizens. This year, as in the past, the Corporation directed most of its funds for this purpose to national and regional organizations providing central services or promoting inter-institutional cooperation. Some of these organizations focus on enlarging minority access to higher education and professional training. Others are concerned with supplying the legal manpower, technical assistance, and information resources local and national groups need to work for equality in education, employment, administration of criminal justice, representation, and housing.

#### **NAACP Legal Defense and Educational Fund, Inc.** \$281,300

In 1970 the Corporation helped expand the Legal Defense and Educational Fund's internship program designed to produce black civil rights attorneys who have the potential to become leaders in Southern communities and states. The program enables newly graduated lawyers to spend a year either in the Fund's New York office or with cooperating attorneys in Southern cities gaining experience in all phases of civil rights law. After the training period, interns receive a three-year subsidy from other foundations while they establish their practices in communities lacking adequate black legal representation. Sixteen interns have received training so far, and the current Corporation grant will support an additional sixteen over the next two years. The internship and subsidy sequence is now managed by the Fund's Earl Warren Legal Training Program, which part of the Corporation grant helped launch in May.

#### **Alabama Center for Higher Education** \$200,000

The Alabama Center for Higher Education (ACHE) is a consortium of all the black four-year colleges in the state. Since its formation in 1967, ACHE has furthered the cooperation of its member colleges in educational planning, curriculum development, in-service training for secondary school teachers, drug education, collection and evaluation of Black Studies materials, and coordination of professional degree programs. Corporation funds will now enable ACHE to add a counseling and recruitment program to help the

colleges reach out to prospective students from the deprived areas of the state. ACHE will work with some 58 secondary schools, offering assistance to guidance personnel, providing information to students on college and career opportunities, and giving special help to students capable of meeting the requirements of member colleges.

**The University of Tennessee** \$232,600

Despite striking enrollment gains in the past few years, blacks are still greatly underrepresented in graduate and professional schools. The University of Tennessee has developed a program to encourage students from selected black colleges in the Southeast to enter advanced degree programs in the biomedical sciences. With Corporation funds, these students will receive two summers of training—prior to and following their senior year—at the University's Oak Ridge Graduate School of Biomedical Science, as well as counseling on graduate school admissions during their senior year. The program will also provide summer research opportunities for faculty members from the participating colleges.

**The Youth Project** \$375,000

The Youth Project is an agency operated by young people to help youth groups around the country organize effective projects to combat racial discrimination and social injustice. Through regional field representatives the Project identifies groups committed to working on specific local issues and problems and selects for assistance those which appear most likely to succeed. Once chosen, a group is helped to learn skills in research, budget management, fund raising, and community organization. The Project may also make a small grant to cover the group's developmental phase. Backing up the field representatives is the Project's central staff in Washington, D. C., which provides accounting and legal services as well as research and liaison with government agencies and committees. Carnegie Corporation is contributing to the support of the Project's activities over the next three years.

**Lawyers' Committee for Civil Rights Under Law** \$206,580

In recent years, more than \$5 billion has been spent by the federal government to help train and employ the disadvantaged, yet the results have been disappointing. According to the Lawyers' Committee, one reason for this failure is the lack of community participation in planning and operating manpower programs. Assisted by a two-year Corporation grant, the Committee will offer legal advice to local and national groups whose members are potential and actual beneficiaries of job training. These groups will be encouraged to articulate their needs and priorities before the appropriate

public agencies. The Committee will also issue non-partisan analyses of existing training programs to increase public awareness of their impact on the poor and minorities. The Committee's overall goal is to stimulate better implementation and administration of manpower legislation.

**Puerto Rican Legal Defense and Education Fund** \$150,000

Responding to the need for an organization devoted to the specific legal issues and problems of Puerto Ricans in the United States, a group of Puerto Rican lawyers established the Puerto Rican Legal Defense and Education Fund (PRLDEF) in June. The Fund's objective is to improve the political, social, and economic status of its people. It plans to offer legal services to secure for Puerto Ricans fair and equal protection and representation, and educational services to broaden the Puerto Rican community's awareness of its legal rights and duties. An additional function will be to help increase the number of Puerto Ricans entering the legal profession. Based in New York City, PRLDEF will operate in several states along the eastern seaboard where large numbers of Puerto Ricans live. This grant will support the Fund's education and information activities for two years.

**Native American Rights Fund** \$119,000

Since its founding in 1970 the Native American Rights Fund (NARF) has been a major center of legal activities on behalf of Indians. This grant is enabling NARF to develop its National Indian Law Library into a clearing-house for Indian legal materials and resources. Pleadings, briefs, and decisions will be gathered from widely dispersed sources, catalogued, indexed, and made available on request. A monthly newsletter announcing the library's holdings and recent developments in Indian law will be sent to tribes, lawyers, law libraries, professors, and law students. It is hoped that this centralized service will encourage more lawyers to undertake cases to help American Indians protect their rights.

**National Association for the Advancement of Colored People (NAACP)** \$100,000

The elimination of racially segregated schooling has been a primary concern of the NAACP since its Education Department was formed in 1954 to give local chapters advice and assistance on educational problems. With Corporation grants in 1966 and 1968, the Department was able to expand its staff and activities. It has recommended texts and other interracial material through published bibliographies; has held conferences and workshops on how to organize communities to work for desegregation; has monitored schools for their racial composition and use of federal funds; and has col-

lected information necessary for litigation or other action. This final grant will enable the Department to operate these programs for one more year while exploring their future viability.

**Metropolitan Applied Research Center, Inc.** \$15,000

Renewing earlier Corporation funding, this grant to the Metropolitan Applied Research Center is supporting completion of a series of training manuals for use in urban schools by teachers, administrators, counsellors, students, and parents. All treat, on the practical level, points of difficulty in urban education, and should help to improve the quality of educational services delivered to inner-city children.

*Public affairs*

The Corporation's program in public affairs has continued to focus on increasing awareness of the ways in which state governments can become strengthened and more responsive to the needs and aspirations of the citizenry. Relative to their responsibilities and constitutional powers, the states have represented the weakest link in our federal system. However, the Supreme Court decision on reapportionment in 1962, the growing recognition that many local and urban problems cannot be attacked effectively from the national level, and now the acceptance by Congress of the federal revenue sharing plan are placing state governments under greater pressure than ever to improve their operations. Grants in the past year have been concerned particularly with legislative modernization and with enlarging the political participation of youth, women, blacks, and other minorities. Henceforth, the Corporation's public affairs program will shift its emphasis to the performance of government at all levels in areas related to the Corporation's other programs, especially education and child development.

**Rutgers University** \$436,750

From 1966 through 1971, the Eagleton Institute of Politics at Rutgers sponsored six annual seminars of state legislators as part of its overall program of information and service to legislatures throughout the nation. These seminars, supported from the beginning by the Corporation, have proved to be a significant force in the contemporary movement to strengthen state government. The participants—totalling about 250 legislators from the houses and senates in all 50 states, have been selected on the basis of their potential for future leadership within their chambers and their demonstrated concern for legislative improvement. Many have, since their attendance at the seminars, risen to leadership posts and worked to achieve reforms affecting staffing, facilities, the frequency and length of legislative sessions, compensation for

legislators, and the like. This grant was made to support the seminars for four more years and, in addition, to underwrite a study and book about legislative ethics and campaign finance; part of the funds were also used to finance a national conference for women state legislators (see below).

**Rutgers University** \$15,000

There are in the United States approximately 335 women state legislators out of a total of 7,700—the largest concentration of women at any level in the hierarchy of public life. What are their backgrounds and characteristics? What have been their experiences operating in this highly competitive, traditionally male domain? The conference of 50 women state legislators, held in May by the Eagleton Institute's Center for the American Woman and Politics, sought to gain answers to these and other questions concerning the status of women in public life and to identify the requisites for increasing their contribution to the American political system. This grant is assisting Jean Kirkpatrick, a political scientist at Georgetown University, in conducting a research project and writing a book based on the conference proceedings and in-depth interviews with the participants.

**The Citizens Conference on State Legislatures** \$500,000

The Citizens Conference on State Legislatures (CCSL), a non-partisan organization founded in 1965 by a group of businessmen, educators, and union leaders, is concerned specifically with the revitalization of state legislatures. Working primarily through state citizens commissions, the CCSL has initiated a broad program of research, technical assistance, and public information on the subject of legislative reform. It has identified deficiencies in the organization and function of state government, has developed, tested, and refined techniques for reform, and made that information available to legislators and interested citizens. Its extensive studies of state systems have resulted in evaluations which are made available to other states interested in alternatives. It also sponsors seminars for legislative leaders in cooperation with the Eagleton Institute and the National Conference of State Legislative Leaders. This grant will help the CCSL continue its general activities as well as develop new projects, including a set of handbooks on the legislative process and teaching materials in government and political science.

**National Municipal League** \$30,000

In recent years, many states have held constitutional conventions for the purpose of revising their outmoded and restrictive constitutions. Since 1967, the National Municipal League, in collaboration with a group of political scientists from Brown University, has been studying the process by which

constitutional reforms have been achieved: the techniques of delegate selection, procedural rules, substantive preparation, and so on. Through an extensive publications program, they have made this information available to groups working in behalf of constitutional revision in the belief that much can be learned from past experiences that will be of practical value to future revision efforts. The current grant, renewing earlier Corporation funding, will enable the League to extend its work for two more years. This will include preparation of a political handbook for convention planners, plus an analytical monograph comparing the various techniques of constitutional revision.

**Youth Citizenship Fund, Inc.** \$250,000

With the acceptance of the 26th amendment, over eleven million 18 to 21 year old youth have been enfranchised, and fourteen million others under age 25 have become eligible to vote since the 1968 Presidential campaign. Voter education for this important segment of the population, and for the large numbers of unregistered blacks, has been the focus of several grants made in the past year by the Corporation and other foundations. The Youth Citizenship Fund, a non-partisan, publicly supported organization, is providing materials, information, and technical assistance to local voter registration groups in the major population centers of 15 states. The Fund hopes its work will help to educate young people to the value of effecting change through the electoral process and to encourage them to begin forming a life-long habit of voting. The Fund also hopes that heightening national awareness of the specific barriers to youth may bring about more concern for the equity and modernization of existing registration procedures generally. This grant will help to support the Fund's work for two years.

**The National Movement for the Student Vote, Inc.** \$100,000

Another nationwide non-partisan youth voter education program the Corporation is supporting has been organized by the National Movement for the Student Vote. Directed mainly toward college students at the 300 largest four-year colleges, including 21 predominantly black colleges, the Student Vote is providing technical assistance and small seed grants to local youth registration efforts. The goal is not only to help mobilize students to register but also to test the legality of local impediments to student registration. The national office produces information pamphlets, taped radio messages, and posters for broad distribution and makes other advertising, legal and organizational assistance available to local groups.

**Voter Education Project, Inc.** \$250,000

For ten years the Voter Education Project (VEP) has been working to make the political system in the South more representative. It has played a large

part in increasing the registration of blacks from an average of 29 percent to 67 percent of the eligible black population in ten southern states, a figure that is high by national standards. VEP now plans to concentrate on young members of minority groups by having newly-enfranchised youths canvass and distribute information about voting to friends and neighbors, encouraging them to participate in local and state decisions as well as the more distant national elections. A special effort is planned to expand the program in Texas, where there are almost a half million Mexican-Americans between the ages of 18 and 21.

**National Urban League, Inc.** \$250,000

Figures from the 1968 election have pointed to specific problems of political participation facing young black voters in the cities—problems which tend to limit the effectiveness of most voter education efforts. Low income, low educational level, high unemployment, hostility to the political process, as well as misinformation and other barriers to registration, all help to explain the underrepresentation of black youth, particularly males, in the voting population. The National Urban League is carrying out a voter education and citizenship program with the assistance of several foundations. Conducted in cities in the North, Midwest, and Northwest where League organizations exist, the program is intended not only to increase the proportion of black youth among the nation's voters, but to encourage greater political participation in their own communities. This grant is supporting the League activities for two years.

*Medical education and health services*

The Corporation's program in health care during the past year has continued to explore ways in which medical education and health delivery systems may be broadened from a concentration on the cure of disease to a concern for health maintenance and for meeting a greater variety of patient needs. Grants have been made to evaluate the quality, organization, and financing of care, to restructure services both within and outside hospital settings to make them more effective and equitable, and to train different levels of health personnel for family and community practice. In anticipation of the formulation of new national health care policy and programs, the Corporation has also supported the research and writing of social scientists on aspects of public policy in health.

This is the last year of the Corporation program in medical education and health services. This program, which had been headed by Margaret E. Mahoney since 1966, was terminated when Miss Mahoney left the Corporation to become vice president of the Robert Wood Johnson Foundation.

**National Academy of Sciences** \$308,000

The measures normally used to evaluate the quality of health services are imprecise and provide no real insight into the effectiveness of care. Since 1969 Dr. David Kessner and his colleagues at the Board on Medicine (now named the Institute of Medicine) of the National Academy of Sciences have been developing a new method for determining the general health status of population groups and for evaluating systems of health care delivery. Their approach involves study of the incidence, diagnosis and treatment, and rate of cure of specific diseases, or "tracers," in order to throw light on the overall medical needs and services of a given community. This work has received major support from the Corporation (see below).

**National Academy of Sciences** \$76,600

This grant will be used to disseminate the findings and recommendations of the Institute of Medicine's study on health care evaluation. Through an extensive program of writing, distribution, and public information, effort will be made to reach the many types of health policy makers to whom the work might be useful: legislators and their staffs, neighborhood medical centers, hospital trustees and administrators, public health officers, physicians and other researchers. In addition to articles and speeches for professional journals and meetings, three research monographs will be published by the National Academy of Sciences for use by specialists in the field. The monographs will also be summarized in non-technical terms for distribution to lay audiences.

**Meharry Medical College** \$400,000

Meharry Medical College, a predominantly black health science institution in Nashville, Tennessee, is one of the few medical schools in the nation emphasizing community health and comprehensive, family-oriented medicine. While most medical schools are preoccupied with training specialists and biomedical researchers, Meharry has sought to strengthen its capacity to prepare practicing physicians, dentists, and other health workers, many of whom are expected to go into areas lacking adequate health care services. Meharry has educated approximately 80 percent of black physicians and dentists practicing in the South and nearly 40 percent in the nation. This second Corporation grant will continue to assist the community health program and support three related new efforts over a two-year period: the inclusion of rural and prison health care experience in the student curriculum, experimentation with education of health teams, and evaluation of the impact of the community health program on students and faculty.

**The Johns Hopkins University** \$350,000

Johns Hopkins Medical School, long a leader in biomedical research and clinical teaching, expanded greatly its patient care services in the 1960's. With help from the Corporation, the Rockefeller Foundation, and the Commonwealth Fund, it established an Office of Health Care Programs to develop new systems of delivering health care and to conduct health care research. Two of Hopkins' group practice programs—one in East Baltimore, the other in Columbia, Maryland, have since proved to be successful models for the delivery of quality community care. The three foundations have renewed their support of the Office of Health Care Programs and, in addition, have provided funds to establish the School of Health Services. The new School will cooperate with the Hopkins Medical School in educating students to work in health teams—an approach that combines the services of doctors, nurses, health associates and other health workers.

**Columbia University** \$300,000

Columbia University's College of Physicians and Surgeons is another medical center exploring ways of improving community health services and relating more closely its educational and service roles. The upper West Side of Manhattan, the area which Columbia serves, contains five affiliated hospitals and approximately one million people; 1.3 million visits are made to the hospitals' outpatient departments and emergency rooms alone, and the problem of meeting family and community needs adequately is an ever-mounting challenge. A new organizational unit of the medical center, the Center for Community Health Systems, has been established with Corporation and other assistance to review and conduct interdisciplinary research on current health problems in this community and to initiate long-range planning. The Center will offer consultation and technical assistance to its affiliated hospitals and to outside groups interested in developing new health care programs and improving existing services. This grant is helping support the Center for three years.

**The Genesee Hospital** \$260,000

Providing care for patients who are ill but do not require hospitalization is increasingly becoming the responsibility of clinics at the nation's 6,000 community hospitals. These clinics, however, were not usually set up to provide general ambulatory care but to serve patients with chronic diseases who could not afford a private physician. Organized and staffed as most of them are now, clinics provide inadequate and episodic care, involving patients in long hours of waiting. To ameliorate these conditions in Rochester, New York, Genesee Hospital is establishing a group practice with federal funds to replace

its out-patient clinics. The department is to be staffed by full-time salaried physicians, nurse practitioners, and a public health nurse, who will offer pre-paid medical attention in a hospital setting. The Corporation is supporting development of a research and evaluation unit within this new department.

**Beth Israel Hospital** \$250,000

Beth Israel Hospital in Boston, a teaching hospital affiliated with Harvard University, is one of the few large medical centers to have designed a major plan for ambulatory care. To respond more effectively to the needs of patients who seek out-patient services, the hospital is shutting down its inadequately staffed general clinics and setting up a single organization, the Beth Israel Ambulatory Center (BIAC). BIAC is to be a complete medical care unit using a team of doctors and health workers to serve those with relatively minor or common ailments. Beth Israel has already established a cooperative relationship with the smaller Genesee community hospital, and much should be learned by comparing the experience of the two very different institutions. BIAC's research and education division will use grants from Carnegie Corporation and the Commonwealth Fund to test new approaches to manpower training and the organization of ambulatory care.

**Children's Hospital Medical Center** \$287,000

Although much new information on child development has come from studies in education, anthropology, and psychology, medical students and their teachers still learn about children in the wards of medical centers where they rarely see healthy children or those with minor ailments. In the future, however, the pediatrician may be expected to play a more important role in helping children develop to their full potential in all aspects of their lives. Children's Hospital Medical Center, a teaching institution affiliated with Harvard Medical School, is establishing with Corporation help a program to train young doctors in normal physical and cognitive child growth and in planning clinical and research techniques for early detection, prevention, or treatment of learning and behavioral problems in children. Graduates of this program are expected to join medical school faculties and, ultimately, to help broaden the focus of pediatric training in academic medical centers.

**The George Washington University** \$235,000

As the scope of federal activities in health enlarges, it is essential for those administering programs and drafting legislation to keep abreast of current developments in contemporary American medicine and to communicate with

one another and with practitioners in the field. In 1969 the Institute for Educational Leadership at George Washington University organized the Educational Staff Seminar as a non-partisan, in-service information program for executive branch officials and Congressional aides concerned with education. With this grant the Institute is extending the staff seminar program to the health field. In the Health Staff Seminar, officials are given the opportunity to learn first-hand about health policy issues through regular dinner-discussion meetings with guest speakers and through field trips to observe new kinds of medical programs.

**Center for Advanced Study in the Behavioral Sciences** \$29,450

The Corporation is supporting several efforts to bring the knowledge and skills of social scientists to bear on discussion of the organization and delivery of health care. Victor Fuchs, an economist and vice president of the National Bureau of Economic Research, is writing a book drawing on his own research and that of others which will clarify—for legislators and policy planners in health—some of the economic constraints that may affect policies governing health insurance, physician supply, organization of medical care, and the like. Corporation funds are paying a portion of Mr. Fuchs' salary and expenses, the balance being covered by a fellowship from the Center for Advanced Study in the Behavioral Sciences.

**The University of Michigan** \$24,500

This grant supports another study which should provide additional objective information to guide the decisions of health planners and administrators. Avedis Donabedian, professor of medical care organization at the School of Public Health, University of Michigan, plans to analyze in depth the organization of health services. He will develop methods for evaluating the effect of a variety of health care arrangements on the satisfaction and behavior of patients and of professional personnel, on efficiency and costs, and, to the extent possible, on the quality of medical care. The project will result in a monograph summarizing the major issues in health care organization and including recommendations for action and further research.

**Harvard University** \$105,000

The Center for Community Health at Harvard University provides a setting for faculty and graduate students from a range of disciplines to study issues in health care. Through consultations, conferences, and symposia, the Center encourages research and debate on such health policy questions as financing, conflicts between public and private interests, and the problem of accountability. The findings and recommendations resulting from these

activities will be published in a series of "white papers" to be disseminated to health policy makers and planners at both the national and local level. The project is headed by Rashi Fein, professor of the economics of medicine at Harvard Medical School, and the Corporation is paying a portion of his and an associate professor's salary for three years.

**The American Sociological Association** \$69,000

As people become more affluent and healthy, their medical problems become more a function of their life patterns than of physical disease. The Medical Sociology Section of the American Sociological Association is examining the effect of such phenomena as drug addiction, smoking, obesity, physical inactivity, and motor accidents on the utilization of medical services and, further, on public policy and the organization of care. Their goal is to develop new approaches needed to encourage individuals to be more responsible for maintaining their own health. The Corporation is underwriting the costs of interdisciplinary seminars and small projects which will enable scholars to analyze and evaluate these topics.

**National Committee for Careers in the Medical Laboratory** \$85,000

Faulty laboratory tests, inadequate education of those performing the tests, and incorrect assignment of laboratory personnel cause far too many errors in medical diagnoses. There is clearly a need for an assessment of the situation on a national basis, a review of training programs, recommendations for more efficient use of personnel, and a set of national standards. Technomics, Inc. designed a study of Navy laboratories for the U.S. Navy Medical Department which includes a systems approach to job analysis and manpower utilization, education and training requirements, and management. With this grant, the National Committee for Careers in the Medical Laboratory has contracted with Technomics, Inc. to adapt the model of the Navy study to fit civilian situations and administer the modified surveys to a national sample of laboratory personnel. On the basis of the data collected and analyzed, the Committee will make recommendations with regard to training requirements and job classification.

**People's Medical Center** \$71,800

People's Medical Center (PMC) in Redwood City, California, is a small group practice combining the services of doctors, a dentist, nurses, and family workers. PMC is located in a federally designated poverty area of 18,000 people who have no other local source of medical care. Although diagnosis and treatment of medical conditions has been and will remain its major function, PMC is now expanding its activities to include the complex problem of pre-

venting illness by developing a community education program. The Center is using Corporation funds to hire and train six local workers to lead health classes in schools, churches, and homes on such topics as nutrition, prenatal care, and the care of young children. The curriculum for the classes has been devised in response to requests by patients for information concerning conditions prevalent in the community. This program should provide an opportunity for testing the effect of patient education on a well-defined, stable population.

**Association of American Medical Colleges** \$15,000

Medical schools could be far more influential in the improvement of health services than they have been. They have been hampered partly because of limited funds but also because the deans of the schools have an unusually difficult management problem which they have not been trained to handle. The Association of American Medical Colleges is developing a training program to help deans and key faculty become more effective administrators. Corporation funds were used to design a series of seminars for top management teams in medical schools and an orientation program for new deans. The salary of the project director and her assistant, consultant fees, and travel expenses were included as well as the costs of running one demonstration seminar.

**Montefiore Hospital and Medical Center** \$13,500

That community health is affected by social and cultural influences as well as by the delivery of medical care is the assumption underlying a study conducted by urban anthropologist Alan Harwood, under a 1968 Corporation grant. He studied the complex interrelationships between the beliefs and life patterns of residents in the South Bronx, who are mostly of Puerto Rican background, and their health problems and treatment. His findings have since then applied to the training of health care personnel at the Martin Luther King, Jr. Health Center in the area. With this grant, Mr. Harwood is translating the results of his study into a book directed to the medical and anthropological communities.

**University of Colorado** \$12,600

Dr. Henry Silver, professor of pediatrics at the University of Colorado, has created two major career programs to train supplemental health personnel. Under these programs, registered nurses may prepare for an expanded role in caring for well children and those with minor injuries and diseases; others, with five years of post-high school training, may become child health associates with broader responsibilities. With the assistance of Patricia McAtee

from the field of nursing, Dr. Silver is now undertaking a study of ways to expand the role of nurses in direct patient care and to modify their training accordingly. Corporation funds will cover the part-time salary of Mrs. McAtee and provide a small amount for travel to meet with other investigators.

**The University of Tennessee** \$12,500

Rather than designing a full-fledged new medical school in the eastern part of the State, the University of Tennessee is exploring the possibility of establishing a health education center in the Knoxville area through use of existing facilities. The center would train supplemental health care personnel to handle many primary health service tasks traditionally assumed by M.D.'s. This Corporation grant, matched by a similar amount from the Commonwealth Fund, is providing for a twelve-month study to see if the biomedical faculty at the Oak Ridge Laboratories, the University's science faculty, and the staff of the Medical Research Center and Hospital in Knoxville can be effectively coordinated to provide training for these new health service workers. These institutions are currently training third- and fourth-year students from the Medical School in Memphis, who, it is hoped, will return to the region and practice.

**National Academy of Sciences** \$7,680

Advancing medical technology, capable of prolonging heart beat and respiration even in hopeless cases, has posed deep philosophical and ethical questions about the moment of death; and the increasing number of deaths in institutional settings has created intense problems in dealing with families, developing appropriate professional services, and defining legal responsibilities. Under the auspices of the Institute of Medicine of the National Academy of Sciences, a panel has been formed to oversee a major study of these problems and to consider questions of policy. The panel, initiated with Carnegie Corporation and Commonwealth Fund grants, will draw together professionals and laymen to develop ideas for operating programs that will enable people to plan for death.

**Sun Valley Forum on National Health, Inc.** \$5,000

The Sun Valley Forum on National Health, Inc., an independent national discussion group focusing exclusively on American health care, was organized in 1971 as a mechanism for scrutiny of public policy issues in health and for development of proposals to deal with these issues. Support from the Corporation, the Milbank Memorial Fund, and the Janss Foundation provided funding for the second summer symposium which concentrated on the

organization of health care services. A summary report of the symposium is being published in a special issue of the Milbank Memorial Fund's quarterly journal.

*Other grants*

Grants in this section are somewhat outside the Corporation's specific program priorities. Several support activities or services concerned with the broad area of philanthropy; others relate to public policy issues.

**Drug Abuse Council, Inc.** \$200,000

Many organizations dealing with the social, health, and legal problems arising from drug use and abuse have expressed the need for a new agency to improve the quality and quantity of knowledge in the field available to the public. In February 1972, the Ford Foundation, with the cooperation of Carnegie Corporation, the Commonwealth Fund, and the Henry J. Kaiser Family Foundation, established the Drug Abuse Council in Washington, D. C., as an independent, national source of information, policy evaluation, and research funding concerning drug use and abuse. The Council's immediate agenda includes developing criteria for evaluation of drug abuse treatment and rehabilitation; evaluating state and federal regulation on dangerous drugs; assessing drug education and information efforts; funding biomedical research on the effects of drugs, particularly heroin and methadone; and investigating the market and traffic in drugs. This grant is contributing to the Council's support during its first year of operation.

**The New York Public Library** \$396,500

The increase in off-campus study by college students is putting growing demands on under-financed public libraries. When it was established in 1970, New York's Mid-Manhattan Library used a time- and cost-cutting computer-generated catalogue with a list of holdings in the form of a paperback book rather than a traditional card file. Corporation support is helping the New York Public Library to extend this catalogue to include the holdings of the Borough central branches in the Bronx and Staten Island, and the Lincoln Center and Donnell special collections. The combined catalogue will be available to all 83 of the system's public libraries and will provide immediate information on obtaining a book not available at a local branch. The catalogue, which should eventually make card files unnecessary, will be sold to libraries throughout the state, and may serve as a model for similar projects elsewhere.

**California State University, San José** \$31,372

Black history, including especially the heritage of black Americans, has been a long-neglected subject of serious inquiry by academic institutions and

scholars. In recent years, however, individuals have begun to trace their genealogy from scattered written records, from fragmented stories and oral histories, and from varied African and West Indian sources. This grant enabled a scholarly committee sponsored by the California State University, San José, to plan a program for identifying, collecting, and making available this often obscure material, and also to make recommendations for the creation of a permanent national library and repository of black heritage information. Preliminary conferences were held during the summer, and a research associate from the University has travelled to different sites to determine the kind and quality of materials available.

**Council on Foundations, Inc.** \$100,000

The Council on Foundations, incorporated in 1957, is a non-profit association with a membership of approximately 500 grant-making and operating foundations in the United States, Canada, and Puerto Rico. After serving for many years primarily as a source of information and consultation to its members, the Council now has the additional function of informing the public about the activities of and public contributions made by foundations. The appointment of the Council's first full-time chairman and publication of a new general interest magazine, *Foundation News*, are helping the organization fulfill this new responsibility. Establishing a dynamic public information program, however, is requiring supplementary support from the membership. This Corporation grant will contribute over five years toward the Council's public education projects.

**Council on Foundations, Inc.** \$15,000

The Council on Foundations sponsored an Anglo-American conference at Ditchley Park in England to discuss the role of philanthropy in the 1970's. Key themes were the extent to which private giving should be concerned with effecting social change, and what kinds of government encouragement and control are needed and anticipated. Differences in the circumstances under which charity operates in the two countries were brought out in background papers and in the discussions. A book based on the conference proceedings is being prepared for publication.

**American Bar Foundation** \$4,580

Last year, the Russell Sage Foundation, the Rockefeller Foundation, and Carnegie Corporation jointly sponsored an American Bar Foundation study on the impact of the foundation provisions of the Tax Reform Act of 1969.

Figures and information for the year 1967, gathered from a sample of tax returns filed by foundations, have provided the data from which to begin a continuing evaluation of such consequences of the Act as its effects on foundation investment policies, amount of giving, and kinds of grants. Additional support from the three sponsoring institutions will provide for the collection of information on the same foundations for the year 1970, and for issuing a report presenting both the 1967 and 1970 data, the results of field interviews already conducted, and other information.

**National Information Bureau** \$7,500

Since 1918, the National Information Bureau has been setting standards for non-profit organizations which appeal to the public for funds and informing contributors about national organizations which do and do not meet these standards. The Bureau's reports are used by local United Funds, business corporations, and foundations, as well as by individuals. Carnegie Corporation, along with other foundations, has helped support the Bureau's work for the past two decades; the current grant will extend over five years.

**The African-American Institute** \$15,000

The African-American Institute took the lead last year in sponsoring and organizing a forum for institutional investors to study the social performance of U.S. business firms operating in South Africa, Namibia (South West Africa), Angola, and other parts of southern Africa. Two dozen major investors, including foundations, an important bank, and one of the largest non-bank investment counseling organizations, now meet regularly at the Institute to gather information from representatives of various organizations with special expertise on southern Africa. Summaries of the meetings as well as other information on business are widely disseminated by the Institute to the general public and to individuals in the private and public sector.

**The National Assembly for Social Policy  
and Development, Inc.** \$7,500

This Corporation grant will help support a study by the National Assembly for Social Policy and Development to determine the feasibility of producing an annual report on the status of a wide range of social problems and conditions in the United States including health, income, public safety, the environment, and many others. The feasibility study will deal with locating and organizing statistical data, results of opinion surveys, and other information available in government agencies and will consider how this information

can be made available for consideration by individuals and groups concerned with formulating social goals and setting priorities.

**Columbia University** \$27,378

Carnegie Corporation has been supporting a series of studies and conferences in the United States and England to consider questions of independence and accountability when governments contract out or otherwise delegate to private institutions and industries an increasing number and range of missions. An analysis of these problems as illustrated in the Lockheed Tri-Star contract is being conducted under the auspices of Columbia University's Institute of War and Peace Studies with funds from the Corporation. This inquiry may provide useful new information on government-industry relationships in the field of national defense.

**Aspen Institute for Humanistic Studies** \$15,000

Recent efforts to set long-range goals for the country have been criticized for not giving adequate consideration to defining the feasible alternatives for national action. The steps needed to meet the goals and the possible conflicts involved have often not been taken into account. A group of distinguished individuals will examine over the next year the question as to whether this type of approach is practical and might be effective. The Corporation's grant was a partial contribution to a detailed study during the summer and to further work and review during the academic year 1972-73.

**Teachers College, Columbia University** \$15,000

The Information and Education Division of the Army during World War II organized a wide variety of education and recreational services for American soldiers, including the correspondence courses of the U.S. Armed Forces Institute, the Army newspapers, radio programs carrying information and entertainment, and documentary films. The Division also conducted research on morale and other aspects of military life. This grant provides for a history of the Division to be written under the auspices of the Institute of Philosophy and Politics of Education at Columbia University.

*Commonwealth*

Increasing the influence of universities mainly in Africa as agents of educational change has been a basic goal of the Corporation's Commonwealth Program for several years. Funds have been devoted to strengthening faculties of education, to in-service teacher training, and to the development of more

relevant curricula at both primary and secondary levels. This year, grants have also supported research and studies leading to evaluation of educational programs, policies and institutions. One university in the Caribbean was included among recipients of major grants.

**American Council on Education** \$300,000

The creation in 1959 of the Africa Liaison Committee by the American Council on Education was an important result of Corporation-supported efforts to promote Anglo-American cooperation in assisting higher education in Africa. The Committee's function has been to examine educational developments on that continent and to help private and governmental agencies determine the most effective aid policies in the light of African needs. The scope of the Committee's activities has now broadened, and its name has been changed to the Overseas Liaison Committee. Its expanded interests include relationships with universities and regional organizations in the Caribbean, the South Pacific, and Southeast Asia. In Africa the Committee has established strong links with the Association of African Universities, and in addition is working to encourage cooperation of African and U.S. experts in such areas as agricultural development and population and human-resource planning. This grant continues Corporation support for three years.

**The University of Botswana, Lesotho, and Swaziland** \$296,000

The University of Botswana, Lesotho, and Swaziland (UBLS), which has served geographically separated countries from a main campus in Lesotho, has recently established branches offering two-year programs in Botswana and Swaziland. Corporation grants, along with Agency for International Development, Canadian, and British assistance, have enabled UBLS to develop its Faculty of Education and to improve teacher training in all three countries. This grant will continue support for special educational conferences and courses for teachers, provide for a staff member in each country to organize varied teachers' programs, and pay a coordinating secretary in Lesotho. The grant also includes funds for construction of an Education Centre in Gaberones, Botswana, to house the expanded program. Because elementary school is still terminal for most students, improving primary education will receive particular emphasis in each country.

**The University of Guyana** \$170,000

The University of Guyana received Corporation funds in 1966 for planning its faculty of education, and later, for staffing a research unit, now called the Curriculum Development Unit. It has produced a number of studies helpful

to teachers and administrators in evaluating and improving their efforts, and has contributed as well to curriculum reform. This three-year grant is supporting expansion of the Curriculum Development Unit, which has recently undertaken important research on curriculum at the secondary level for the Ministry of Education. Its investigations are of major concern to the country, because Guyana plans to construct with World Bank funds seven new "multilateral" schools combining general education with vocational and technical programs. The Ministry hopes ultimately to convert all secondary institutions to this type, the curriculum of which is more suited to the country's present needs than that inherited from Britain.

**Science Education Programme for Africa** \$92,000

In the last ten years, with help from Britain and the United States, African educators have introduced new teaching programs in mathematics, science, language, and social studies. Few of these educators, however, have been trained to measure the effectiveness of these programs or to use the results of evaluation for determining future policy. Science Education Programme for Africa (SEPA), which has helped to initiate new curricula and conducted training programs for teachers, has assessed its own work and pointed to the need for the training of teachers in methods of evaluation. This Corporation grant is providing for a one-year pilot project at the University of Ibadan, Nigeria, to determine what kinds of training will be needed. It is expected that an initial emphasis on curriculum evaluation will broaden into a more general concern for program and policy evaluation.

**Institute of Education** \$58,000

The Institute of Education is a British invention designed to bring universities into a direct relationship with teacher training colleges and with local education authorities. As educational systems have expanded in Africa, university-based Institutes have become increasingly involved in a wide range of activities including educational research, evaluation, curriculum development, and in-service training of teachers at all levels. In some cases they have been asked to set the standards for the profession. Support of Institutes carrying on such work has been central to the Commonwealth Program over a twelve-year period. The Corporation has now commissioned a study to assess the Institute's effectiveness in guiding educational development and to determine how it can be improved. University of Wisconsin Professor B. Robert Tabachnick, who has a part-time appointment at Makerere University, has designed a two-year plan for evaluating selected Institutes. He will gather information which should be of use both to African policy makers and to the Corporation in considering future programs.

**Association of African Universities** \$15,000

Believing that the 1970's will witness the emergence of universities as truly African institutions with a special role to play in national development, the Association of African Universities organized a major summer workshop for African scholars and educators to reconsider the function of higher education on the continent. The workshop, entitled "Creating the African University," examined persistent issues involving the autonomy of universities, the use of scarce resources and limited facilities, and the apparently competing interests of students, faculties and administrators. Publications resulting from the conference should help leaders in higher education to set priorities for change and determine the kinds of relationships they must establish with governments and with other institutions of the societies they serve. This Corporation grant met the expenses of workshop participants from Commonwealth countries.

**The African-American Institute** \$15,000

From 1960 to 1970, the African-American Institute (AAI) administered the African Scholarship Program of American Universities which provided undergraduate education in the United States for more than 1500 students from 32 African countries. The major funding for the project came from the Agency for International Development, which is now undertaking an evaluation of this and other African scholarship programs. With this Corporation grant, AAI will document those aspects of the program with which it was most closely concerned. The study will be based primarily on personal interviews with students and former students, with administrators in this country, and with government officials in Africa. The evaluation should be of value to American institutions which are dealing with increasing numbers of applications from Africa at a time of diminishing scholarship resources.

**The University of the South Pacific** \$15,000

With the cooperation of the National Aeronautics and Space Administration, the University of Hawaii has designed an experimental project to link institutions in the Pacific through satellite communications. An established tie with its Hilo College campus on the island of Hawaii has already made it possible to teach using two-way voice communication, to provide library materials by facsimile, and to send messages by teletype. This grant will enable the University of the South Pacific to tie into the network and to assess its value both for the University's education program in Fiji and for its extension program in other island groups. With Corporation funds, it is setting up two ground stations and consulting other universities on technical questions. The project will help the University determine the degree to which modern

communications can help it serve the educational needs of a population scattered over 500,000 square miles of the Pacific Ocean.

**The Chinese University of Hong Kong** \$9,500

A 1970 Corporation grant to the Chinese University of Hong Kong has supported a two-and-a-half year study of the secondary schools in Hong Kong. Particular attention has been paid to the Chinese language schools and to the educational and cultural problems of a dual language system. The study has included preparation of extensive background materials, and more recently, the administration of questionnaires to the heads of 58 secondary schools. This work has entailed unforeseen expenses which will be met with this small supplemental grant.

The  
report of  
the secretary



# The report of the secretary

At the annual meeting in November, the trustees acted on the recommendations of a special committee which had been formed to consider the structure and functions of the board and its committees. They voted to amend the constitution and bylaws of the Corporation to encompass changes in the length of trustee terms, the number of officers of the Corporation, the committees of the board, and the schedule of board meetings. They also passed a resolution affirming the special committee's statement about the responsibilities of the board of trustees.

There were three vacancies on the board, and Philip R. Lee, Howard D. Samuel, and Marta Y. Valle were elected to fill these positions, to serve for four-year terms ending at the close of the annual meeting of 1975.

Dr. Lee was chancellor of the University of California, San Francisco, at the time of his election to the board. He has since resigned this post to return to research and teaching at the Health Policy Center of the University. He had previously served as assistant secretary for health and science affairs in the Department of Health, Education, and Welfare and, from 1963 to 1965, as director of health services in the Office of Technical Cooperation and Research at the Agency for International Development. Dr. Lee received the B.A. and M.D. degrees from Stanford University.

Mr. Samuel has been a vice president of the Amalgamated Clothing Workers of America, AFL-CIO, since 1966 and serves as executive director of the Sidney Hillman Foundation. He is a member of the National Manpower Advisory Committee and Commission on Population Growth and the American Future, serves on the governing board of Common Cause, and is vice chairman of the New York Urban Coalition. Aside from being active in politics and civic affairs in White Plains, where he is a resident, Mr. Samuel

is co-author of two books on government. He received the B.A. degree with honors in history from Dartmouth College.

Miss Valle is director of continuing education at Columbia University's School of Social Work, where she received a master's degree in 1961. She was Commissioner of Youth Services for the City of New York from 1967 to 1971 and assistant deputy administrator for community relations of the City's Human Resources Administration before that. Prior to joining the City agency, she had been executive director of the Lower East Side Neighborhood Association and was a founding member of Aspira, the Puerto Rican Association of Community Affairs, and The Puerto Rican Forum. Miss Valle is also president of Valle Consultants, Ltd., a firm which provides technical assistance to community organizations.

Francis Keppel, whose term was due to expire at the end of the annual meeting, was reelected for a four-year term to run to the close of the annual meeting of 1975. David A. Shepard was reelected chairman of the board, and Caryl P. Haskins was elected to fill the new position of vice chairman, their terms to end at the close of the next annual meeting.

A finance and administration committee, as called for in the amended constitution, was formed, replacing the former finance and executive committees. The chairman of the board and the president of the Corporation serve as *ex officio* members. Amyas Ames, Malcolm A. MacIntyre, Harding F. Bancroft, Aiken W. Fisher, and Mr. Haskins were elected to serve on the committee through the annual meeting in December 1972, with Mr. Ames as chairman. Mr. Fisher asked to be relieved of this assignment and Mr. Samuel was elected in February to take his place. The committee met on November 18, 1971, and on January 20, April 20, and September 21, 1972.

A nominating committee, also provided for by the constitutional amendments, was elected. The president of the Corporation serves *ex officio*, and four other trustees were elected for specific terms. Phyllis G. Gordian was elected for a four-year term, Mr. Keppel for a three-year term, Franklin A. Thomas for a two-year term, and Robert Bacher for a one-year term.

The board of trustees held regular meetings on November 16 and December 9, 1971, and on February 10, April 13, and June 8, 1972. It met in special sessions on October 20, 1971, to consider the recommendations of the special committee; and on May 4-5, at Endicott House, Dedham, Massachusetts, to discuss Corporation programs and operations in depth.

The executive committee held its final meeting before being superseded by the finance and administration committee on October 20, 1971.

The Corporation's trustees, staff members, and other friends were greatly saddened by the death in June of Helen Rowan. She had joined the staff in 1955 to take responsibility for the Corporation's public information activities,

particularly the *Carnegie Quarterly*. Working on a half-time appointment after her move to San Francisco in 1961, Miss Rowan continued to write the *Quarterly* and act as consultant on the annual report and other editorial matters. She also wrote articles for national magazines and reports for other organizations. Her death after a long illness was deeply felt by her colleagues.

Margaret E. Mahoney left the Corporation at the end of May to become vice president of the Robert Wood Johnson Foundation. Miss Mahoney joined the staff in 1954 as assistant secretary. At the time of her departure, she held the titles of associate secretary and executive associate and was primarily responsible for the Corporation's program in medical education and the delivery of health services. Carol Ann Richards, who had worked on the health program as a staff assistant since 1967, also resigned to accept an appointment as an executive assistant at the Johnson Foundation. Mrs. Richards began her career as a secretary at the Corporation in 1965.

Sara L. Engelhardt became assistant secretary on September 1. She had worked for the Corporation in various capacities beginning in 1964 and, prior to her departure from the staff in 1970, she had been a staff assistant in the Office of the Secretary. In the intervening years, Mrs. Engelhardt worked free lance on several editing and writing projects, including some for the Corporation.

Another new staff member, Vivien Stewart, started on September 1. Miss Stewart, who is an executive assistant, expects to receive the D.Phil. degree from Oxford University next year. She has carried out research on student records in high schools at the Russell Sage Foundation under a graduate student fellowship.

Catherine McDermott was promoted to executive rank as personnel and office manager in September. Miss McDermott came to the Corporation in 1970 and is responsible for recommending and carrying out personnel policies and for the furnishing and operation of the office.

Rochelle Beck, who joined the staff in 1969, left in September to become a student at the Harvard Graduate School of Education. Mrs. Beck was made a staff assistant in 1970 and has worked in the Office of the Secretary and assisted in several program areas.

Two new staff assistants joined the Corporation during the year. Caroline Beery, who had been a research assistant at the Institute for Educational Development and assistant director for continuing education at the Stanford Alumni Association, is working in the field of early childhood education. Barbara Lyons is doing writing and editing for the Corporation's reports and press releases. She is working on a dissertation in French literature for Harvard University and had previously worked in the promotion office of NBC's Detroit affiliate.

A notable event of the year was the gift of the Carnegie House properties to the Smithsonian Institution. Following the death of Mrs. Andrew Carnegie in 1946, Carnegie Corporation became the owner, under the terms of her will, of the mansion at 2 East 91st Street (New York City), built as the residence of Mr. and Mrs. Carnegie in 1901, the surrounding gardens, and the house at 9 East 90th Street which Mr. Carnegie had later acquired and remodeled for his daughter, Margaret Carnegie Miller.

For many years, this property was leased rent free to the Columbia University School of Social Work. When the School decided to move to Morningside Heights, the Corporation negotiated a similar lease with the Smithsonian Institution in 1969, the property to become the new home of its affiliate, the Cooper-Hewitt Museum of Decorative Arts and Design. In 1972 the trustees of the Corporation, in response to a request from the Smithsonian Institution, deeded the property to the Institution as a gift, the terms of which should assure the preservation of the mansion and gardens, and their use for museum purposes, during the foreseeable future.

Another significant action of the year concerned the relationship of the Corporation and The Carnegie Foundation for the Advancement of Teaching. To help the Foundation meet its obligations to provide retiring allowances and widows' pensions for college teachers, the Corporation in 1939 had agreed to lend the Foundation up to \$15 million. The peak load for the Foundation came between 1944 and 1965. During this period, it borrowed \$14,600,000 from the Corporation; and since 1966, it has made repayments of \$852,712.39. Under the terms of the Court Order enabling the Foundation to borrow from the Corporation and from its own endowment, almost all of the Foundation's income not needed for current pension payments would have gone to repayments until the year 1990. Meanwhile, the Corporation would be making grants to the Foundation for specific purposes—at present for support of the Carnegie Commission on Higher Education. To resolve this situation and give the Foundation autonomy in the use of its own income, the Corporation trustees agreed to join the Foundation in a petition to the Supreme Court of the State of New York to modify its Order of 1939 by terminating the Foundation's obligation to continue repayments to the Corporation and to its own endowment fund. This petition was approved in May 1972, and the Foundation will now be able to spend its income (and a portion of its capital gains) for the purposes of its own program in higher education.

# Books resulting from grants

Carnegie Corporation does not itself publish the findings of studies that it has supported. Each year, however, a number of interesting books and pamphlets, reporting the results of projects funded wholly or in part by the Corporation, is published by commercial and university presses and by research organizations. This is only a partial listing of titles.

Four books concerning educational policy appeared:

**Inequality: A Reassessment of the Effect of Family  
and Schooling in America**

*by Christopher Jencks and Marshall Smith, Henry Acland, Mary Jo Bane, David Cohen, Herbert Gintis, Barbara Heyns, and Stephan Michelson  
(Basic Books, Inc., Publishers)*

**On Equality of Educational Opportunity: Papers Deriving from the  
Harvard University Faculty Seminar on the Coleman Report**

*edited by Frederick Mosteller and Daniel P. Moynihan (Random House, Inc.)*

**Explorations in Non-Traditional Study**

*edited by Samuel B. Gould and K. Patricia Cross (Jossey-Bass, Inc., Publishers)*

**Making New Schools: The Liberation of Learning**

*by Joseph Turner (David McKay Company, Inc.)*

Several books were published which reflect the Corporation's interest in the functioning of government at all levels:

**Setting National Priorities: The 1973 Budget**

*by Charles L. Schultze, Edward R. Fried, Alice M. Rivlin, and Nancy H. Teeters  
(The Brookings Institution)*

**Money in Politics**

*by Herbert E. Alexander (Public Affairs Press)*

**Strengthening the States: Essays on Legislative Reform**

*edited by Alan Rosenthal and Donald Herzberg (Doubleday & Company, Inc.)*

Other books of specialized interest are the following:

**A Variorum Commentary on the Poems of John Milton,**

Volume 2, Parts I, II, III

*edited by Merritt Y. Hughes (Columbia University Press)*

**The Physician's Assistant—Today and Tomorrow**

*by Alfred M. Sadler, Jr., Blair Sadler, and Ann A. Bliss (Yale University)*

**Human Problem Solving**

*by Allen Newell and Herbert Simon (Prentice-Hall, Inc.)*

**Mystics and Militants: A Study of Awareness, Identity and Social Action**

*by Adam Curle (Travistock Publications Limited)*

**Economic Organization in Chinese Society**

*edited by W. E. Willmott (Stanford University Press)*

**Performing Arts Institutions and Young People**

*by Mark Schubart (Praeger Publishers, Inc.)*

The Carnegie Commission on Higher Education, financed primarily by Carnegie Corporation grants to The Carnegie Foundation for The Advancement of Teaching, released five special reports with recommendations, which were completed during the year and published by McGraw-Hill Book Company:

**New Students and New Places: Policies for the Future Growth  
and Development of American Higher Education**

**Institutional Aid: Federal Support to Colleges and Universities**

**The Fourth Revolution: Instructional Technology in Higher Education**

**More Effective Use of Resources: An Imperative for Higher Education**

**Reform on Campus: Changing Students, Changing Academic Programs**

A number of research reports sponsored by the Commission was also issued:

**A Degree and What Else? Correlates and Consequences  
of a College Education**

*by Stephen B. Withey*

**American Higher Education: Directions Old and New**

*by Joseph Ben-David*

**The Invisible Colleges: A Profile of Small, Private Colleges with Limited Resources**

*by Alexander W. Astin and Calvin B. T. Lee*

**The Nonprofit Research Institute: Its Origin, Operation, Problems and Prospects**

*by Harold Orlans*

**Professional Education: Some New Directions**

*by Edgar H. Schein*

**Education and Evangelism: A Profile of Protestant Colleges**

*by C. Robert Pace*

**The Home of Science: The Role of the University**

*by Dael Wolfe*

**Statistical Portrait of Higher Education**

*by Seymour E. Harris*

**The Emerging Technology: Instructional Uses of the Computer in Higher Education**

*by Roger E. Levien*

**Where Colleges Are and Who Attends: Effects of Accessibility on College Attendance**

*by C. Arnold Anderson, Mary Jean Bowman, and Vincent Tinto*

**New Directions in Legal Education**

*by Herbert L. Packer and Thomas Ehrlich*

In addition, the Commission released several technical reports:

**Mental Ability and Higher Educational Attainment in the 20th Century**

*by Paul Taubman and Terrence Wales*

**American College and University Enrollment Trends in 1971**

*by Richard E. Peterson*

**Papers on Efficiency in the Management of Higher Education**

*by Alexander Mood*



The  
report of  
the treasurer



# The report of the treasurer

Carnegie Corporation's annual financial statements and additional financial tabulations appear on pages 74 through 102. The following comments highlight and supplement the information disclosed in the financial statements.

## **Investment assets and transactions**

On September 30, 1972, the market value of the Corporation's investment assets was \$351.8 million, a record high for the end of any fiscal year.

The table below shows the composition of these investment assets together with realized gains or losses on transactions during the year.

*The investment portfolio on September 30, 1972*

	Amortized cost	Market value	Percent of total	Gain (Loss) on investment transactions during year
U.S. Government and agency obligations	\$766,145	\$766,145	0.2%	—
Mortgages	9,334,420	8,026,271	2.3	(-\$770)
Convertible bonds	7,203,052	9,910,513	2.8	(967,315)
Other bonds and notes	72,233,001	66,807,935	19.0	(4,323,730)
Convertible preferred stock	821,269	1,430,092	0.4	(1,209,226)
Common stocks	188,308,804	264,873,992	75.3	21,408,203
	<u>\$278,666,691</u>	<u>\$351,814,948</u>	<u>100.0%</u>	<u>\$14,907,162</u>

The Corporation's principal investment objective is to maximize long-range total return, consisting of realized and unrealized capital appreciation

as well as dividend and interest income. In pursuing this objective, three outside investment counselors are employed: Morgan Guaranty Trust Company of New York, United States Trust Company of New York, and Miller, Anderson & Sherrerd, a Philadelphia firm. Each of the Corporation's three counselors has advisory responsibility for about one-third of the Corporation's total investment portfolio.

The board of trustees has directed the finance and administration committee to establish investment policy and standards and to enable the investment counselors to authorize purchases and sales of securities in accordance with such investment policy and standards. The standards now in force require some diversification of investment assets among different industry groups. Further, they impose limits on holdings in new and unseasoned companies and in common stocks which are not listed on the New York Stock Exchange. The standards also set bounds on the concentration of holdings in securities issued or guaranteed by a single business firm or other instrumentality.

### **The Corporation's income**

The income from investments for the year ended September 30, 1972, was \$11,540,582, compared with \$13,215,988 the previous year. This decline reflected the Corporation's aim of increasing total return on its assets by enhancing the prospects for price appreciation, but sacrificing some current cash return in the process. Income from investments was supplemented by \$33,176 of other income: \$6,765 in excess income on pension trusts administered by Home Trust Company and \$26,411 in dividends on annuity policies purchased many years ago by the Corporation to supplement the allowances for retired college professors provided by The Carnegie Foundation for the Advancement of Teaching.

The net realized gain on investment transactions during the year, as shown in the table on page 69, was \$14,907,162, compared with a net gain of \$17,302,409 during the previous year. As disclosed in the financial statements, \$6,256,558 of net gain was allocated to income and devoted to appropriations during the fiscal year. Since the Corporation first used net gain to supplement cash income during its 1970 fiscal year (a change in policy which had required an amendment to its charter), a cumulative total of \$8,248,924 in such gain has been allocated to income and expended.

### **Appropriations and expenditures**

For the United States and Commonwealth programs, a total of \$15,831,381 was appropriated in fiscal 1972. A complete list of appropriations is shown on pages 87 through 102.

Any balance remaining after a project has been completed is normally returned to the Corporation by the grantee. These refunds and any previous commitments written off during the year are listed as adjustments of appropriations on page 102. For the year ended September 30, 1972, these refunds and write-offs provided \$366,167 so that net appropriations amounted to \$15,465,214.

General administration and program management expenditures, shown in detail on page 86, were \$1,395,089, compared with \$1,371,642 in fiscal 1971.

As required by the provisions affecting foundations in the Tax Reform Act of 1969, Carnegie Corporation was subject to the federal excise tax on investment income. For the year, the Corporation's estimated federal tax liability was \$442,034, a sum which otherwise would have been available for philanthropic grants.

#### *Five-year summary of financial highlights*

Fiscal year ended September 30	Appropriations for grants net of refunds and write-offs	General administration and program management expenditures	Market value of investment assets on September 30
1968	\$11,882,193	\$1,249,418	\$333,695,571
69	11,455,863	1,192,938	301,113,677
70	13,532,399	1,281,661	282,501,318
71	12,774,801	1,371,642	317,202,778
1972	15,465,214	1,395,089	351,814,948

#### **Carnegie House properties**

During the year, the Carnegie House properties, consisting of land and two buildings at 2 East 91st Street and 9 East 90th Street, New York City, were deeded to The Smithsonian Institution, the organization to which the properties previously had been leased rent free. The facilities will continue to house the collection of the Cooper-Hewitt Museum. The properties had been carried under "other assets" at a value of \$1.00 in view of the fact that any realistic evaluation depended on unknown factors such as the future use of the property.

#### **Advances to The Carnegie Foundation for the Advancement of Teaching**

From 1944 through 1965, the Corporation advanced \$14,600,000 without interest to The Carnegie Foundation for the Advancement of Teaching to permit the Foundation to meet its payments of free pensions to several thousand retired college and university teachers or their widows. In 1965, the Foundation's income became sufficient to take care of its expenses and pension payments. Modest repayments of previous advances then became

possible and were commenced in 1966. The repayments continued through 1971, reaching a cumulative total of \$852,714.

In 1972, the New York State Supreme Court, in response to a petition by The Carnegie Foundation for the Advancement of Teaching and Carnegie Corporation of New York, ordered that the Foundation be relieved of all obligations to make further repayments of advances. The elimination of the indebtedness, in combination with other features of the Court Order as explained more fully in the report of the secretary, assists the Foundation to become self-sufficient.

### **Social and ethical considerations in investment policy**

To the degree permitted by law, the Corporation's trustees delegate discretion over day-to-day decisions on purchases or sales of securities to the three investment counselors. The trustees rely on these counselors to initiate purchase or sale transactions in conformity with the highest ethical standards of the investment community.

In delegating initial authority to outside counsel, the trustees retain ultimate responsibility for investment decisions, including decisions involving the social performance of business firms represented in the investment portfolio. As part of their responsibility to consider corporate social performance, the trustees have endorsed the following procedures for voting proxies.

The Corporation's treasurer receives and reviews all proxy statements and votes those proxies of a routine nature. Proxy statements which raise questions with material social implications are referred to the finance and administration committee which then decides, subject to review by the full board of trustees, how the proxies shall be voted. The consideration of proxy issues by the trustees is not limited to merely a positive or negative vote on particular proposals. It sometimes involves written and oral communication with senior officers of firms whose securities have a place among the Corporation's assets.

### **Audit by independent accountants**

The bylaws provide that Carnegie Corporation's accounts are to be audited each year by an independent public accountant. Accordingly, the firm of Peat, Marwick, Mitchell & Co. examined the Corporation's financial transactions for 1971-72.

The Corporation's financial statements and related schedules, together with an opinion letter from Peat, Marwick, Mitchell & Co., appear in the following pages.

## **Opinion of independent accountants**

To the Board of Trustees of  
Carnegie Corporation of New York

We have examined the balance sheet of Carnegie Corporation of New York as of September 30, 1972 and the related statement of changes in fund balances for the year then ended. Our examination was made in accordance with generally accepted auditing standards, and accordingly included such tests of the accounting records and such other auditing procedures as we considered necessary in the circumstances.

In our opinion, the accompanying balance sheet and statement of changes in fund balances present fairly the financial position of Carnegie Corporation of New York at September 30, 1972 and the changes in its resources for the year then ended, in conformity with generally accepted accounting principles, applied on a basis consistent with that of the preceding year. The supplementary data presented in Schedules 1-3 have been subjected to the same auditing procedures and, in our opinion, are stated fairly in all material respects when considered in conjunction with the basic financial statements taken as a whole.

Peat, Marwick, Mitchell & Co.

New York, New York  
October 27, 1972

Carnegie Corporation of New York

Exhibit A

**Balance sheet**

September 30, 1972

With comparative figures for

September 30, 1971

<b>Assets</b>	<b>1972</b>	<b>1971</b>
<b>Cash on hand and on deposit</b>	\$720,422	\$1,944,892
<b>Investments at amortized cost</b> (market value \$351,814,948 in 1972; \$317,202,778 in 1971)		
U. S. Government and agency obligations	766,145	—
Mortgages	9,334,420	10,280,617
Convertible bonds	7,203,052	7,312,272
Other bonds and notes	72,233,001	87,976,695
Convertible preferred stock	821,269	5,739,476
Common stocks	<u>188,308,804</u>	<u>156,380,858</u>
	278,666,691	267,689,918
<b>Other assets</b> (notes 1, 6, and 7)	<u>561,327</u>	<u>561,329</u>
<b>Total assets</b>	<u><u>\$279,948,440</u></u>	<u><u>\$270,196,139</u></u>

*See accompanying notes to financial statements.*

<b>Liabilities and fund balances</b>	<b>1972</b>	<b>1971</b>
<b>Liabilities</b>		
Unpaid appropriations:		
United States	\$12,117,666	\$10,908,268
Commonwealth	1,218,119	1,217,228
Estimated federal excise tax payable	442,034	521,116
Accounts payable	—	23,512
Deferred income	17,691	26,923
Total liabilities	13,795,510	12,697,047
<b>Fund balances (Exhibit B)</b>		
Income	—	—
Principal (notes 2 and 7)	266,152,930	257,499,092
Total fund balances	266,152,930	257,499,092
Total liabilities and fund balances	\$279,948,440	\$270,196,139

*See accompanying notes to financial statements.*

Carnegie Corporation of New York  
 Exhibit B  
**Statement of changes in fund balances**  
 for the year ended September 30, 1972

**Income fund**

<b>Income</b>	
Interest and dividends	\$11,540,582
Less investment expenditures (note 3)	527,979
Net investment income	11,012,603
Other	33,176
Total income	11,045,779
<b>Expenditures</b>	
Provision for estimated federal excise tax	\$442,034
General administration and program management expenditures	1,395,089
Appropriations (net of refunds and write-offs of \$366,167)—(note 6)	15,465,214
Total expenditures	17,302,337
<b>Excess of expenditures over income</b>	(6,256,558)
<b>Allocation from principal fund of gain on investment transaction (note 2)</b>	<u><u>\$6,256,558</u></u>

*See accompanying notes to financial statements.*

## Principal fund

<b>Balance at beginning of year</b>	\$257,499,092
Additions:	
Net gain on investment transactions	\$14,907,162
Net gain on recovery of reversionary interests	3,235
	<hr/>
	14,910,397
	<hr/>
	272,409,489
Deductions:	
Gain on investment transactions allocated to income fund (note 2)	6,256,558
Gift of Carnegie House properties (note 7)	1
	<hr/>
<b>Balance at end of year</b>	<b>6,256,559</b>
	<hr/>
Consisting of:	
Nonexpendable:	
Endowment	125,000,000
Legacy	10,336,868
	<hr/>
	135,336,868
Expendable: net gains and losses on investment transactions and reversionary interests (note 2)	130,816,062
	<hr/>
	<b>\$266,152,930</b>
	<hr/>

*See accompanying notes to financial statements.*

Carnegie Corporation of New York  
**Notes to financial statements**  
September 30, 1972

(1) Other assets consist of the following:

(a) The Corporation owns all the capital stock (except directors' qualifying shares) of Home Trust Company which was established in 1901 by Mr. Carnegie primarily to pay pensions to people designated by him. The investment is carried in the accounts at the fair market value when acquired in 1925 from Mr. Carnegie's estate. The equity of the company based on audited financial statements was \$156,730 on December 31, 1971.	\$334,195
(b) The Corporation owns the reversionary interests in the few remaining trusts established by Mr. Carnegie and administered by Home Trust Company. The estimated value of the remaining unrecovered interests is	227,132
	<hr/> <hr/> <hr/> <hr/>
	\$561,327

- (2) In accordance with the New York State Not-for-Profit Corporation Law, the Corporation allocated gains on investment transactions to the income fund to the extent necessary to support current year's activities.
- (3) Investment expenditures are fees and costs incurred for the production and collection of gross investment income and the management, conservation, and maintenance of property held for the production of such income (fees for custody services and investment advice; other operating costs directly related to the production of income).
- (4) The Corporation follows the practice of charging fixed asset acquisitions against income. Such acquisitions are not reflected as fixed assets in the accompanying financial statements.
- (5) The Corporation has a non-contributory retirement plan under arrangements with Teachers Insurance and Annuity Association and College Retirement Equities Fund which provides for purchase of annuities for employees. Retirement plan expense for the year was \$127,167. There were no unfunded past service costs.
- (6) The Corporation made advances totaling \$14,600,000 without interest to The Carnegie Foundation for the Advancement of Teaching to enable the Foundation to fulfill its obligation for the payment of pensions. The total amount was reduced by subsequent repayments of advances amounting to \$852,714, leaving a balance of \$13,747,286 at September 30, 1971. In May 1972, the Supreme Court of the State of New York, in response to a petition by The Carnegie Foundation for the Advancement of Teaching that was entirely endorsed by Carnegie Corporation of New York, ordered that the Foundation be relieved of its obligation to repay these advances. The advances had been carried on the books at a value of \$1.00 in "other assets" and treated as a contingent account receivable because any repayments were dependent upon the Foundation's earning sufficient income.
- (7) Carnegie House properties, consisting of land and two buildings located in New York City, were bequeathed to the Corporation by Mrs. Carnegie. The properties, previously leased rent free to the Smithsonian Institution, were deeded to that Institution as a gift by the Corporation's trustees during the year. These properties had been carried on the Corporation's books under "other assets" at a value of \$1.00 since any realistic evaluation depended on unknown factors.

Carnegie Corporation of New York  
 Schedule 1  
**Income from investments**  
 for the year ended September 30, 1972, and  
**Statement of investments held**  
 at September 30, 1972

*Summary of investments held and income from investments*

	Amortized cost	Market value	Greater or (less) than amortized cost	Income
U. S. Government and agency obligations	\$766,145	\$766,145	—	\$11,755
Mortgages	9,334,420	8,026,271	(\$1,308,149)	483,909
Convertible bonds	7,203,052	9,910,513	2,707,461	236,836
Other bonds and notes	72,233,001	66,807,935	(5,425,066)	5,104,933
Convertible preferred stock	821,269	1,430,092	608,823	156,781
Common stocks	188,308,804	264,873,992	76,565,188	5,546,368
Total	<u>\$278,666,691</u>	<u>\$351,814,948</u>	<u>\$73,148,257</u>	<u>\$11,540,582</u>

*Statement of investments held*

U. S. Government and agency obligations			Par value	Amortized cost	Market value
Treasury Bills					
4.52%	Nov. 30, 1972		\$775,000	\$766,145	\$766,145
Mortgages			Par value	Amortized cost	Market value
Abilene AFB Housing, Inc.					
4%	Aug. 1, 1982		\$3,353,720	\$3,378,778	\$2,859,045
Instlcorp, Inc.					
A-16 5%	Dec. 31, 1991		1,322,789	1,280,753	1,091,566
A-19 4.94%	Dec. 31, 1991		1,099,263	1,064,601	903,264
A-21 5%	Dec. 31, 1991		745,523	720,653	639,285
A-23 4.96%	Dec. 31, 1991		572,809	563,979	489,752
A-25 4.64%	Dec. 31, 1991		346,251	332,416	290,850
A-29 5.25%	June 30, 1992		507,229	507,041	424,703
A-31 4.5%	June 30, 1992		455,328	433,818	377,922
A-62 5.125%	Mar. 31, 1997		1,112,603	1,052,381	949,884
Total			<u>\$9,515,515</u>	<u>\$9,334,420</u>	<u>\$8,026,271</u>

*Statement of investments held*

Convertible bonds		Par value	Amortized cost	Market value
Baxter Laboratories, Inc.				
4% Mar. 1, 1987		\$1,370,000	\$1,896,262	\$3,772,638
Burlington Northern, Inc.				
5 1/4% Jan. 15, 1992		500,000	505,000	502,500
First National City Bank of New York				
4% July 1, 1990		835,000	860,277	1,753,500
Fischbach & Moore, Inc.				
4 3/4% Apr. 1, 1997		190,000	197,513	228,000
Great American Mortgage Investors				
7% Nov. 1, 1991		300,000	300,000	270,000
Halliburton Co.				
4% Sept. 15, 1997		1,000,000	1,000,000	1,010,000
Heublein, Inc.				
4 1/2% May 15, 1997		350,000	350,000	362,250
Pennzoil Louisiana & Texas Offshore, Inc.				
1% to Oct. 31, 1975				
6% to May 1, 1979		1,625,000	1,290,000	1,275,625
Trans World Airlines, Inc.				
5% Jan. 1, 1994		800,000	804,000	736,000
	Total	\$6,970,000	\$7,203,052	\$9,910,513

Other bonds and notes		Par value	Amortized cost	Market value
Alcan Aluminum Corp.				
4 3/4% Dec. 31, 1984		\$925,000	\$925,000	\$757,853
American Telephone & Telegraph Co.				
8 3/4% May 15, 2000		3,000,000	2,991,550	3,322,500
Anbel Leasing Corp.				
6 1/2% Nov. 30, 1992		227,345	227,345	202,337
6 1/2% Feb. 15, 1993		232,400	232,400	206,836
6 1/2% Mar. 22, 1993		243,084	243,084	215,737
6 1/2% Apr. 15, 1993		243,017	243,017	215,677
6 1/2% May 15, 1993		240,262	240,262	213,232
B. P. North American Finance Corp.				
5 1/2% Sept. 15, 1985		1,300,000	1,300,000	1,168,180
Bankers Trust Co. (N. Y.)				
Certificate of Deposit				
4.65% Oct. 2, 1972		500,000	500,000	499,990
Bell Telephone Co. of Canada				
6.60% Dec. 1, 1997		1,500,000	1,500,000	1,259,850
Bethlehem Steel Corp.				
9% May 15, 2000		3,000,000	3,000,000	3,360,000
Boeing Co.				
6 3/8% Sept. 15, 1986		1,754,000	1,754,000	1,464,590
Burlington Industries, Inc.				
9% Aug. 15, 1995		3,000,000	3,000,000	3,285,000
C.I.T. Financial Corp.				
4 7/8% Apr. 1, 1987		1,500,000	1,500,000	1,086,450
4.759% Oct. 4, 1972		2,500,000	2,500,000	2,500,000
Celbess Corp.				
5 1/4% Nov. 30, 1974		1,047,396	1,047,396	976,696
Chase Manhattan Bank, N.A.				
Certificates of Deposit				
4.80% Oct. 18, 1972		1,000,000	1,000,000	999,900
4.95% Oct. 27, 1972		1,000,000	1,000,041	999,960

*Statement of investments held*

Other bonds and notes		Par value	Amortized cost	Market value
Churchill Falls (Labrador) Corp., Ltd.				
7 3/4% Dec. 15, 2007		\$1,500,000	\$1,500,000	\$1,451,250
Consolidated Edison Co. of New York, Inc.				
5% Oct. 1, 1987		330,000	332,262	250,800
Consolidated Natural Gas Co.				
5% Feb. 1, 1985		921,000	928,033	756,371
Deere (John) Credit Co.				
4 7/8% Oct. 31, 1985/77		2,000,000	1,596,231	1,545,000
Detroit Edison Co.				
4 7/8% Aug. 15, 1987		1,000,000	1,000,000	767,500
Erie Mining Co.				
4 1/2% July 1, 1983		1,050,000	1,024,220	769,125
First National City Bank, N. Y.				
Bankers Acceptances				
4 7/8% Oct. 24, 1972		381,296	379,799	379,939
Certificates of Deposit				
4 3/4% Oct. 2, 1972		1,000,000	1,000,000	999,990
4.85% Oct. 5, 1972		1,800,000	1,800,000	1,799,946
4 3/4% Oct. 10, 1972		575,000	575,000	574,960
4.80% Oct. 11, 1972		1,045,000	1,045,000	1,044,927
4 3/4% Oct. 19, 1972		150,000	150,000	149,981
Ford Motor Co.				
4 3/4% Mar. 1, 1979		2,000,000	2,000,000	1,670,000
7 1/4% July 15, 1977		500,000	501,206	515,625
4% Nov. 1, 1976		718,000	718,000	654,277
Ford Motor Credit Co.				
4.633% Oct. 13, 1972		500,000	500,000	500,000
Four Corners Pipe Line Co.				
5% Sept. 1, 1982		311,000	311,000	255,409
GTE Sylvania, Inc.				
Demand Notes		852,000	852,000	852,000
General Electric Co.				
Demand Notes		603,000	603,000	603,000
General Motors Acceptance Corp.				
5% Mar. 15, 1981		775,000	771,866	672,313
Grant (W. T.) Financial Corp.				
4.759% Oct. 6, 1972		4,000,000	4,000,000	4,000,000
Great Canadian Oil Sands, Ltd.				
5 3/4% July 1, 1991		1,840,000	1,840,000	1,425,632
Howe Sound Realty Corp.				
4.85% June 1, 1986		990,875	990,875	701,639
Hystron Fibers, Inc.				
5 3/4% Nov. 1, 1986		2,500,000	2,500,000	2,029,750
IAC, Ltd.				
5 1/4% Oct. 1, 1982		1,000,000	1,000,000	800,000
ICI Financial Corp.				
6.77% Aug. 1, 1985		1,300,000	1,402,349	1,131,000
Int'l Bank for Reconstruction & Development				
4 3/4% Nov. 1, 1980		500,000	498,607	435,000
Int'l Harvester Credit Corp.				
Demand Notes		1,220,000	1,220,000	1,220,000
4 5/8% Nov. 1, 1979		1,000,000	996,101	845,000
Lincoln First Group, Inc.				
6 1/4% Sept. 15, 1992		1,500,000	1,486,366	1,286,250
Manufacturers Hanover Trust Co. (N. Y.)				
Bankers Acceptances				
4 7/8% Oct. 24, 1972		300,000	298,822	298,932
4 7/8% Oct. 27, 1972		100,000	99,512	99,601
Certificate of Deposit				
4.86% Oct. 24, 1972		500,000	500,000	499,950

*Statement of investments held*

Other bonds and notes	Par value	Amortized cost	Market value
Marcor, Inc.			
6½% Oct. 15, 1988	\$1,000,000	\$862,500	\$870,000
Marine Midland Bank (N. Y.)			
Bankers Acceptances			
4¾% Oct. 10, 1972	10,458	10,423	10,441
4¾% Oct. 13, 1972	21,137	21,060	21,095
4¾% Oct. 16, 1972	20,026	19,944	19,976
Marine Midland Bank of Western Buffalo, N. Y.			
Bankers Acceptances			
4¾% Oct. 12, 1972	300,000	298,892	299,442
Missouri Pacific Railroad Co.			
5.70% Nov. 1, 1974	141,930	141,930	138,737
Montgomery Ward Credit Corp.			
4⅞% July 1, 1980	330,000	328,689	283,800
Natural Gas Pipeline Co. of America			
6¾% Aug. 1, 1987	355,000	342,234	323,938
Potomac Electric Power Co.			
4½% Feb. 15, 1982	474,000	458,374	380,385
Province of Ontario, Canada			
9¼% Aug. 1, 2000	2,000,000	2,000,000	2,255,000
Public Service Electric & Gas Co.			
4½% Mar. 1, 1977	455,000	445,605	414,619
Quebec Hydro-electric Commission			
5% July 15, 1984	660,000	660,000	516,450
Schroeder (J. H.) Banking Corp. (N. Y.)			
Bankers Acceptances			
4¾% Oct. 13, 1972	100,000	99,631	99,800
4¾% Oct. 24, 1972	20,410	20,330	20,337
Shell Oil Co.			
5% Mar. 15, 1991	1,866,666	1,866,666	1,467,666
Singer Co.			
8¼% Apr. 15, 1976	485,000	485,000	506,219
Singer Credit Corp.			
Demand Notes			
Southern Railway Co.			
5% July 1, 1994	660,000	861,379	462,825
Toronto-Dominion Tower, Ltd.			
5½% Oct. 1, 1991	1,500,000	1,500,000	1,166,250
United Airlines, Inc.			
5% Feb. 1, 1984	2,000,000	2,000,000	1,645,000
Westinghouse Electric Corp.			
Demand Notes			
	583,000	583,000	583,000
Total	\$72,560,302	\$72,233,001	\$66,807,935

Convertible preferred stock	Shares	Cost	Market value
Emerson Electric Co. \$0.90 "B"	23,066	\$821,269	\$1,430,092

*Statement of investments held*

Common stocks	Shares	Cost	Market value
AMP, Inc.	5,000	\$326,897	\$515,000
ARA Services, Inc.	12,133	1,478,407	1,992,845
Addison Wesley Publishing, Inc. "B"	15,800	214,600	161,950
Affiliated Bankshares of Colorado, Inc.	3,700	156,625	160,950
Air Products and Chemicals, Inc.	35,000	2,111,057	2,393,125
Alcon Laboratories, Inc.	11,200	471,140	789,600
American District Telegraph Co.	9,333	385,944	436,318
American Home Products Corp.	54,866	3,651,346	6,096,984
American Telephone & Telegraph Co.	138,800	5,162,981	6,506,250
Anheuser Busch, Inc.	15,000	960,695	956,250
Aquitaine Co. of Canada Ltd.	16,800	489,407	459,900
Arctic Enterprises, Inc.	38,400	1,253,916	1,089,600
Arizona Bank	6,300	219,063	223,650
Athena Communications Corp. <sup>a</sup>	2,000	—	6,500
Automatic Switch Co.	3,333	175,001	169,150
Avon Products, Inc.	44,600	1,722,466	5,552,700
Baker Industries, Inc.	30,000	945,595	1,038,750
Baker Oil Tools, Inc.	9,000	496,384	508,500
Bank of Virginia Co.	45,000	956,250	1,653,750
Bard (C. R.) Inc.	15,000	566,250	568,125
Bearings, Inc.	15,000	552,622	671,250
Best Products, Inc.	10,000	565,450	470,000
Betz Laboratories, Inc.	6,000	120,750	262,500
Brown Forman Distillers Corp. "B"	36,050	1,027,699	1,135,575
Capital Holding Corp.	15,500	433,508	441,750
Carrier Corp.	56,649	370,274	1,373,738
Central and Southwest Corp.	35,000	1,612,866	1,531,250
Certain-teed Products Corp.	11,800	273,047	250,750
Champion Int'l Corp.	78,612	1,174,326	1,690,158
Chase Manhattan Mortgage & Realty Trust <sup>b</sup>	10,000	588,055	567,500
Chicago Bridge & Iron Co.	35,000	1,503,275	1,758,750
Clorox Co.	9,614	256,501	821,997
Coca Cola Bottling Co. of New York, Inc.	75,332	1,327,058	1,968,049
Coca Cola Co.	39,333	1,052,699	5,545,953
Colonial Penn Group, Inc.	22,000	577,500	1,204,500
Consolidated Foods Corp.	25,000	1,084,375	987,500
Continental Mortgage Investors <sup>b</sup>	49,689	999,992	596,268
Corning Glass Works	9,000	2,299,696	2,072,250
Cross (A. T.) Co. "A"	5,000	297,500	281,250
Crown Cork & Seal Co., Inc.	43,300	1,102,411	1,114,975
Delux Check Printers, Inc.	15,000	990,000	1,106,250
DeSoto, Inc.	50,000	963,688	787,500
Delta Airlines, Inc.	20,000	995,615	962,500
Disney (Walt) Productions	16,871	737,943	3,007,256
Dow Chemical Co.	40,000	3,242,324	3,835,000
DuPont (E. I.) de Nemours & Co.	21,132	2,879,539	3,502,629
ESB, Inc.	49,000	1,631,917	1,470,000
Eastern Air Lines, Inc.	21,500	549,795	473,000
Eastman Kodak Co.	79,200	1,718,253	10,870,200
Economics Laboratory, Inc.	11,600	439,950	437,900
Emerson Electric Co.	12,332	666,742	1,106,798
Equitable Life Mortgage & Realty Investors <sup>b</sup>	57,530	1,473,327	1,725,900
Exxon Corp.	37,732	762,896	3,061,008
Fidelity-Union Life Insurance Co.	20,000	748,125	767,500
Financial General Bankshares, Inc.	30,000	370,630	412,500
First Charter Financial Corp.	31,000	930,093	1,054,000
First Pennsylvania Corp.	30,000	1,415,392	1,500,000
Ford Motor Co.	94,200	4,284,189	6,276,075
Freeport Minerals Co.	100,000	2,052,222	2,137,500
Funk Seeds Int'l, Ltd.	18,000	349,875	355,500
General Electric Co.	40,000	1,892,593	2,655,000

*Statement of investments held*

Common stocks	Shares	Cost	Market value
General Motors Corp.	59,911	\$2,535,143	\$4,710,502
Grant (W. T.) Co.	30,666	484,713	1,192,141
Great American Mortgage Investors <sup>b</sup>	12,000	358,500	388,500
Gulf & Western Industries, Inc.	20,000	767,314	707,500
Hanna Mining Co.	20,000	1,067,538	1,085,000
Heitman Mortgage Investors <sup>b</sup>	22,000	336,138	283,250
Hospitality-Motor Inns, Inc.	3,000	102,000	110,625
Houghton Mifflin Co.	20,100	457,159	351,750
House of Fabrics, Inc.	20,000	522,003	147,500
Houston Natural Gas Corp.	55,000	2,204,662	2,805,000
Hubbell (Harvey) Inc. "B"	22,000	1,085,268	1,133,000
Hughes Supply, Inc.	6,000	219,025	165,000
Hycel, Inc.	30,000	822,627	405,000
Imperial Corp. of America	18,100	295,559	325,800
International Business Machines Corp.	52,362	10,376,957	21,285,153
International Flavors & Fragrances, Inc.	25,500	1,264,776	1,973,063
Interstate Corp.	9,000	265,188	270,000
Jostens, Inc.	29,500	908,867	936,625
Kennecott Copper Corp.	23,800	642,693	547,400
Knight Newspapers, Inc.	30,000	998,820	1,560,000
Kraftco Corp.	15,000	658,434	630,000
Kresge (S. S.) Co.	30,000	1,109,231	1,338,750
LCA Corp.	15,000	612,978	571,875
Larwin Mortgage Investors <sup>b</sup>	25,000	795,075	681,250
Lehigh Portland Cement Co.	35,500	692,175	594,625
Levitz Furniture Corp.	15,000	412,340	498,750
Lilly (Eli) Co.	19,666	1,151,883	1,420,869
Louisiana Land & Exploration Co.	54,000	305,510	2,382,750
Lowes Companies, Inc.	10,666	484,000	538,633
Mallinckrodt Chemical Works	20,000	931,563	1,490,000
Marlennan Corp.	30,000	1,572,155	1,612,500
McDonald's Corp.	30,000	972,708	1,687,500
Medusa Corp.	25,000	1,128,972	1,003,125
Mercantile Stores Co., Inc.	1,200	123,136	140,700
Mercury General Corp.	20,000	781,250	887,500
Minnesota Mining & Manufacturing Co.	50,000	3,399,059	3,993,750
Mobil Oil Corp.	22,666	366,077	1,549,788
Modern Merchandising, Inc.	7,000	236,250	145,250
Monsanto Co.	30,000	1,503,188	1,582,500
Monumental Corp.	18,000	905,875	1,183,500
Morgan (J. P.) & Co., Inc.	25,000	2,403,114	2,637,500
Nashua Corp.	20,000	990,266	1,140,000
National Airlines, Inc.	16,500	663,231	544,500
National Chemsearch Corp.	15,000	739,839	1,185,000
National City Lines, Inc.	40,000	1,118,037	700,000
National Data Corp.	5,000	340,580	215,000
Nevada Power Co.	25,000	815,944	918,750
Northern Indiana Public Service Co.	50,000	1,244,266	1,250,000
Northwestern Steel & Wire Co.	12,300	354,502	408,975
Ocean Drilling & Exploration Co.	20,000	830,225	1,125,000
Ocean Oil & Gas Co.	20,000	343,875	317,500
Oshman's Sporting Goods, Inc.	7,500	208,977	180,000
Pacific Gas & Electric Co.	30,000	415,999	881,250
Peabody Galion Corp.	24,100	979,318	1,054,375
Penney (J. C.) Co., Inc.	32,600	1,951,622	2,734,326
Pennsylvania Life Co.	53,333	1,403,741	673,329
Peterson Howell & Heather, Inc.	15,000	592,500	465,000
Petrie Stores Corp.	13,000	776,211	859,625
Phelps Dodge Corp.	39,466	681,705	1,504,641
Philip Morris, Inc.	13,000	1,255,454	1,342,250
Phillips Petroleum Co.	70,000	2,095,501	2,450,000

*Statement of investments held*

Common stocks	Shares	Cost	Market value
Pickwick International, Inc.	21,200	\$734,841	\$996,400
Polaroid Corp.	24,800	2,547,043	2,771,400
Procter & Gamble Co.	37,732	2,037,097	3,697,736
Provident National Corp.	30,000	903,750	997,500
Research Cottrell, Inc.	10,000	622,447	657,500
Revco D. S., Inc.	35,000	1,156,264	1,618,750
Rouse Co.	10,000	266,663	277,500
Russ Togs, Inc.	55,000	1,225,370	914,375
Ryan Homes, Inc.	72,000	1,848,459	1,863,000
Scherer (R. P.) Corp.	1,000	94,500	90,000
Schering-Plough Corp.	52,053	4,322,741	6,396,012
Schlumberger, Ltd.	22,669	2,355,658	5,225,205
Seaboard Coast Line Industries, Inc.	11,000	710,456	583,000
Sears Roebuck & Co.	81,866	4,237,101	8,954,093
Signode Corp.	26,000	1,373,395	1,764,750
Simmons Co.	30,000	975,056	930,000
Singer Co.	30,000	2,539,744	2,437,500
Snap-on Tools Corp.	5,100	126,875	249,900
Sony Corp. ADR	21,000	463,148	1,002,750
Southern Natural Gas Co.	30,000	1,381,853	1,736,250
Squibb Corp.	31,400	2,064,698	3,140,000
Steak & Ale Restaurants of America, Inc.	6,500	291,158	260,000
Stride Rite Corp.	50,000	1,038,673	931,250
Teleprompter Corp.	25,000	929,702	928,125
Texas Eastern Transmission Corp.	33,000	1,427,310	1,782,000
Texas Instruments, Inc.	10,000	1,749,935	1,762,500
Texas Utilities Co.	30,000	621,054	915,000
Times-Mirror Co.	31,000	1,432,373	1,724,375
UAL, Inc.	18,000	752,920	571,500
U. S. Home Corp.	43,000	1,321,083	1,257,750
Unionamerica, Inc.	30,000	1,082,574	1,245,000
United Telecommunications, Inc.	75,000	1,514,330	1,471,875
VF Corp.	70,000	1,691,036	1,986,250
Valley National Bank of Arizona	21,000	653,250	737,625
Walter (Jim) Corp.	32,300	1,227,301	928,625
Waste Management, Inc.	10,000	330,000	377,500
Western Union Corp.	83,000	3,823,589	4,118,875
Will Ross, Inc.	10,000	364,613	436,250
Wynn Oil Co.	22,000	610,267	552,750
Xerox Corp.	38,800	3,340,025	6,149,800
<b>Total</b>		<b>\$188,308,804</b>	<b>\$264,873,992</b>

<sup>a</sup> Stock dividend from Gulf & Western Industries, Inc.

<sup>b</sup> Shares of beneficial interest.

Carnegie Corporation of New York  
 Schedule 2  
**Statement of**  
**General administration, program management,**  
**and investment expenditures**  
 for the year ended September 30, 1972

	General administration and program management expenditures	Investment expenditures	Total expenditures
Salaries	\$744,879	\$40,730	\$785,609
Investment advisory and custody fees	—	440,549	440,549
Employee benefits	194,961	10,651	205,612
Net rent	137,677	7,246	144,923
Travel	60,124	126	60,250
Legal, accounting, and financial services	38,311	18,143	56,454
Annual and quarterly reports	42,589	2,242	44,831
Conferences and consultations	40,466	2,129	42,595
Telephone, telegraph, and postage	36,613	1,927	38,540
Office equipment and maintenance	33,103	1,742	34,845
Office supplies and expenses	16,117	848	16,965
Duplicating services	11,512	606	12,118
Membership fee	10,000	—	10,000
Pensions	8,987	—	8,987
Periodicals, publications, and subscriptions	5,701	300	6,001
Trustee expenses	5,564	293	5,857
Miscellaneous	8,485	447	8,932
	<hr/> <hr/> <hr/>	<hr/> <hr/> <hr/>	<hr/> <hr/> <hr/>
	\$1,395,089	\$527,979	\$1,923,068
	<hr/> <hr/> <hr/>	<hr/> <hr/> <hr/>	<hr/> <hr/> <hr/>

Carnegie Corporation of New York  
 Schedule 3  
**Statement of appropriations and payments**  
 for the year ended September 30, 1972

*This schedule shows all payments made during the fiscal year 1971-72 from appropriations of that year and the preceding years. Numbers preceded by B or X identify the resolutions voted by the board or executive committee, respectively. Amounts in the first column marked thus (\*) are allocations from funds made available in previous years.*

*Summary of appropriations and payments*

	Appropriated during year	Unpaid appro- priations at be- ginning of year	Paid during year	Unpaid appro- priations at end of year
For purposes in United States	\$14,996,881	\$10,908,268	\$13,787,483	\$12,117,666
For purposes in Commonwealth	834,500	1,217,228	833,609	1,218,119
	<u>15,831,381</u>	<u>\$12,125,496</u>	<u>\$14,621,092</u>	<u>\$13,335,785</u>
Less refunds and adjustments	366,167			
	<u><u>\$15,465,214</u></u>			

*Appropriations and payments—United States*

Recipient and/or purpose	Appropriated during year	Unpaid appro- priations at be- ginning of year	Paid during year	Unpaid appro- priations at end of year
Advisory for Open Education				
Support of the Creative Teaching Workshop's in-service teacher training program (B3574)	\$209,000		\$63,500	\$145,500
African-American Institute				
Education and information services on Africa (X3449)		\$45,000	30,000	15,000
Support of seminars for institutional investors (X3460)	15,000*		15,000	
Alabama Center for Higher Education				
Support of a cooperative counseling and recruitment program for rural blacks (B3515)	200,000		77,000	123,000
American Association for Higher Education				
Support (X3364)		5,000	5,000	
American Association of Community and Junior Colleges				
Development of community college programs for servicemen (B3547)	295,470		73,868	221,602
American Bar Foundation				
Study to design a monitoring system on the impact of the foundation provisions of the Tax Reform Act of 1969 (X3460)	4,580		4,580	

*Appropriations and payments—United States*

Recipient and/or purpose	Appropriated during year	Unpaid appropriations at beginning of year	Paid during year	Unpaid appropriations at end of year
American Council of Learned Societies Fellowships (B3487)		\$500,000	\$100,000	\$400,000
Support of the Universities Service Centre in Hong Kong (X3427)		50,000	50,000	
American Council on Education Support (X3309)		100,000	50,000	50,000
Support of the Overseas Liaison Committee (B3522) (See also page 100)	\$200,000			200,000
For financial aid to women attending sessions of the Institute for College and University Administrators (X3460)	15,000		15,000	
American Sociological Association Support of the Medical Sociology Section (X3466)	69,000		23,000	46,000
Aspen Institute for Humanistic Studies Exploring possibility of establishing an institute of national alternatives (X3460)	15,000		15,000	
Aspira, Inc. Support of a college retention program (B3422)		45,000	45,000	
Association of American Colleges Staff services related to the status of women in higher education (X3445)		21,000	21,000	
Association of American Medical Colleges Planning a management advancement program (X3460)	15,000*		15,000	
Association of the Bar of the City of New York Completion of a study of modern surveillance technology (X3122)		5,000	5,000 <sup>a</sup>	
Beth Israel Hospital (Boston) Development of the Ambulatory Center (B3558)	250,000		75,000	175,000
Bluffton College Study of a group of small colleges with limited resources (X3460)	13,000		13,000	
Bowling Green State University Establishment of a new general education program (B3569)	142,000		84,000	58,000
Brookings Institution Support of studies in public budgeting (B3453)		100,000	100,000	
Study of public policies affecting children (B3529)	160,000		80,000	80,000

*Appropriations and payments—United States*

Recipient and/or purpose	Appropriated during year	Unpaid appropriations at beginning of year	Paid during year	Unpaid appropriations at end of year
Brookline (Massachusetts), Public Schools of Planning a comprehensive early education project (X3438)		\$62,000	\$62,000	
California State University and Colleges (B3511) Pilot projects to implement planned change	\$451,428		397,197	\$54,231
California State University, San José Planning a library of black historical materials (B3576)	31,372		31,372	
California, Univcrsity of, Berkeley Minority group enrollment in the School of Social Welfare (B3352)		64,400	64,400	
California, University of, San Francisco Expenses of inter-institutional group in postgraduate medical education (X3411)		7,500	7,500	
Carnegie Endowment for International Peace Visiting research scholars (X3350)		25,000	25,000	
Carnegie Foundation for the Advancement of Teaching Support of the Carnegie Commission on Higher Education (B3452, B3486, B3567)	300,000	1,073,750	826,750	547,000
Advances (note 6)	1		1	
Carnegie Institution of Washington Fellowships in the natural sciences (B3356)		80,000	80,000	
Center for Advanced Study in the Behavioral Sciences Support (B3262)		200,000	50,000	150,000
Research and writing on national health care policy (X3464)	29,450		29,450	
Center for New Schools Research and technical assistance to develop alternative public high schools (B3575)	196,000		65,400	130,600
Center for the Study of Public Policy Study of alternative approaches to child rearing (B3554)	250,000		71,500	178,500
Children's Hospital Medical Center (Boston) Training program in child development for pediatricians (B3536)	287,000		82,525	204,475
Children's Television Workshop Support of <i>The Electric Company</i> (B3573)	500,000		500,000	

*Appropriations and payments—United States*

Recipient and/or purpose	Appropriated during year	Unpaid appropriations at beginning of year	Paid during year	Unpaid appropriations at end of year
Christian Action Ministry Academy Support (X3415)		\$75,000	\$75,000	
The Circle, Inc. Planning a project under auspices of Circle Associates to improve the reading skills of black children (X3460)	\$14,583		14,583	
Citizens Conference on State Legislatures Program of non-partisan analysis, study, and research on state legislatures (B3421, B3580)	500,000	177,500	217,500	\$460,000
Claremont University Center Long-range planning and reorganization (B3514)	250,000		125,000	125,000
Colgate University Support of major curricular revisions for year-round operation (B3532)	185,000		185,000	
College Entrance Examination Board National system of college-level examinations (B3438, B3527)	800,000	400,000	400,000	800,000
Support of the Commission on Non-Traditional Study (B3465, B3544) Evaluation of the suitability for use in the U.S. of teaching materials developed by the Open University (B3546)	49,600 219,750	53,000	102,600 50,000	169,750
Colorado, University of, Medical Center Development of a pediatric associate training program (B3369) Study of health manpower (X3460)	12,600 *	87,500	12,600	87,500
Columbia University Study of independence and accountability in the contract state (X3371, B3563) Development of a Center for Community Health Systems (B3501)	27,378 300,000	23,500	50,878 100,000	200,000
Committee on Institutional Cooperation Study of university presses (X3460)	15,000		15,000	
Community Council of Greater New York Support of the Community Health Institute (X3416)		126,500	126,500	
Cornell University Planning a program of studies of cognitive development in black children (X3460)	7,425		7,425	
Council for Philosophical Studies Administrative expenses and summer institutes (X3246)		85,000	30,000	55,000

*Appropriations and payments—United States*

Recipient and/or purpose	Appropriated during year	Unpaid appropriations at beginning of year	Paid during year	Unpaid appropriations at end of year
Council on Foreign Relations, Inc.				
Support (B3424)		\$150,000	\$75,000	\$75,000
Council on Foundations, Inc.				
Expenses of a British-American conference on the role of philanthropy in the 1970's (X3460)	\$15,000 *		15,000	
Support of public affairs and education program (B3564)	100,000		20,000	80,000
Council on Interracial Books for Children, Inc.				
Support (X3429)		37,500	37,500	
Day Care and Child Development Council of America, Inc.				
Support of information program (B3439)		50,000	50,000	
Denver Health Research Foundation, Inc.				
Study of information requirements in the Denver Neighborhood Health Program (B3435)		45,000		45,000
Drug Abuse Council, Inc.				
Planning for a national program to combat drug abuse (X3411)		15,000	15,000	
Support (B3500)	200,000		200,000	
Duke University				
Support of a program in community health services (B3351)		40,000	40,000	
Support of a physicians' assistant program (B3436)		75,000	50,000	25,000
Development of analytical systems for planning and allocation of resources in the Medical Center (X3422)		75,000	75,000	
Postgraduate program in medicine (B3490)		48,000	48,000	
Editorial Projects for Education				
Discovery and development of young talent in the education writing field (X3300)		3,407		3,407
Program development (X3385)		36,500	36,500	
Education Development Center, Inc.				
Study group on early development of competence (X3460)	9,000 *		7,000	2,000
Dissemination of educational films and publications on open education (B3505)	85,000		85,000	
Educational Testing Service				
Computer-assisted guidance system for junior colleges (X3446)		290,000	209,000	81,000
Research concerning non-traditional study (B3545)	169,500		169,500	

*Appropriations and payments—United States*

Recipient and/or purpose	Appropriated during year	Unpaid appropriations at beginning of year	Paid during year	Unpaid appropriations at end of year
Far West Laboratory for Educational Research and Development				
Development of a parent-child early education program (B3458)		\$106,000	\$106,000	
Development of courses in problem-solving (B3469)		133,000	133,000	
Florida, University of				
Development of pre-professional and junior college transfer programs for minority students (B3463)		87,500	87,500	
Support of a program in community health studies (B3478)		75,000	75,000	
Foundation Center Support (X3367)		105,000	35,000	\$70,000
Genesee Hospital				
Development of a research and evaluation unit in the ambulatory services department (B3517)	\$260,000		65,250	194,750
George Washington University				
Support of the Health Staff Seminar (B3537)	235,000		115,000	120,000
Georgia, University of				
Development of the graduate program in art (X3145)		75,000	35,000	40,000
Harvard University				
Study of the effect of maternal practices on infant development (B3373)		51,332	51,332	
Research and training in human development in collaboration with University of Nairobi, Kenya (X3380)				
(See also page 100)		63,750		63,750
Support of the Center for Educational Policy Research (B3468)		265,000	165,000	100,000
Support of health policy program (X3465)	105,000		35,000	70,000
Studies of higher education (B3540)	50,000			50,000
Health Resources Institute				
Development of community health care and related educational programs (X3432)		125,000	125,000	
High/Scope Educational Research Foundation				
Production of teaching films on parent-infant education (B3476)		153,000	130,000	23,000
Higher Education Compact				
Program planning (X3460)	15,000		15,000	

*Appropriations and payments—United States*

Recipient and/or purpose	Appropriated during year	Unpaid appropriations at beginning of year	Paid during year	Unpaid appropriations at end of year
Illinois, University of Program for disadvantaged students at the Graduate School of Library Science (X3362)		\$8,647		\$8,647
Expenses of Anglo-American Conference on Higher Education (X3460)	\$15,000		\$15,000	
Experimental three-year degree programs (B3568)	280,500		76,500	204,000
Institute for Services to Education Support (X3399)		400,000	100,000	300,000
International Council for Educational Development Support (B3315)		100,000	100,000	
Johns Hopkins University Development of a program of community health care (B3412, B3578)	350,000	83,333	183,333	250,000
Support of conferences of American legislators with British parliamentarians and African leaders (B3471)		91,696	31,591	60,105
Law Students Civil Rights Research Council Support of a recruitment program for southern law schools (X3414)		39,800	39,800	
Lawyers' Committee for Civil Rights Under Law Support of the Community School System Project (B3503)	50,000		25,000	25,000
Program to improve the administration of manpower legislation (B3520)	206,580		103,290	103,290
League of Women Voters Education Fund Program to strengthen state and local government (B3488)		370,050	193,950	176,100
Manpower Institute Planning an education-experience exchange program (X3463)	26,525		26,525	
Mary Holmes College Resource center for the Mississippi Institute for Early Childhood Education (B3530)	48,500		36,000	12,500
Massachusetts Institute of Technology Support of the Unified Science Study Program (B3459)		291,000	197,000	94,000
Massachusetts, University of Planning and implementing a completely modular curriculum at the School of Education (X3443)		34,800	34,800	
Meharry Medical College Training program in comprehensive health care (B3437, B3560)	400,000	200,000	300,000	300,000

*Appropriations and payments—United States*

Recipient and/or purpose	Appropriated during year	Unpaid appropriations at beginning of year	Paid during year	Unpaid appropriations at end of year
Metropolitan Applied Research Center, Inc.				
Support of the urban affairs program (X3460)	\$15,000		\$15,000	
Michigan, University of				
Research and writing on medical care organization (B3538)	24,500		16,500	\$8,000
Minnesota Metropolitan State College				
Planning and initial support (B3513)	213,500		142,500	71,000
Montefiore Hospital and Medical Center				
Writing on community health needs (X3460)	13,500		13,500	
Nairobi College, Inc.				
Planning a research and community education project on education finance (X3460)	15,000		15,000	
National Academy of Education				
Support (X3331)		\$30,000	20,000	10,000
National Academy of Sciences				
Completion of a study of health care under the auspices of the Institute of Medicine (B3518, B3579)	384,600		384,600	
Planning a program on the care of dying patients (X3460)	7,680		7,680	
National Assembly for Social Policy and Development, Inc.				
Study of the feasibility of a National Social Report (X3460)	900*			
6,600			7,500	
NAACP Legal Defense and Educational Fund, Inc.				
Scholarships at southern state university law schools and postgraduate internships (X3384, B3470, B3557)	281,300	522,500	323,800	480,000
National Association for the Advancement of Colored People				
Support of the program in education (B3577)	100,000		100,000	
National Board of Medical Examiners				
Development of computer-based examinations of clinical competence (B3461)		150,000	75,000	75,000
National Catholic Educational Association				
Support of a national data bank for non-public education (B3423)		25,900	25,900	
National Committee for Careers in the Medical Laboratory				
Study of the skills and competencies required in the medical laboratory (B3502)	85,000		85,000	

*Appropriations and payments—United States*

Recipient and/or purpose	Appropriated during year	Unpaid appropriations at beginning of year	Paid during year	Unpaid appropriations at end of year
National Friends of Public Broadcasting Support (X3413)		\$114,500	\$114,500	
National Information Bureau Support of the activities during the five-year period 1972–1976 (X3460)	\$7,500		7,500	
National Movement for the Student Vote, Inc. Support of a national youth voter education program (B3525)	100,000		100,000	
National Municipal League Research and dissemination on state constitutional conventions in collaboration with Brown University (B3562)	30,000		30,000	
National Service Center for Health Science Studies Support (B3479)		17,780	17,780	
National Urban League Support of a national youth voter education program (B3581)	250,000		125,000	\$125,000
Native American Rights Fund Development of the National Indian Law Library (B3531)	119,000		45,000	74,000
Nevada, University of, Reno Development of a health sciences program (X3447)		105,000	105,000	
New Jersey State Department of Higher Education Planning and development of Thomas A. Edison College (X3460)	15,000		15,000	
Feasibility study of a Middle College in Hudson County (B3533)	37,500		37,500	
New York, City University of City College Report on the writing problems of disadvantaged students (B3549)	46,079		46,079	
Queens College Support of the Institute for Community Studies (B3519)	70,000		35,000	35,000
New York Public Library Development of computerized catalogue of the branch libraries (B3571)	396,500		99,125	297,375
New York State Education Department Support of a program leading to the Regents University Degree (B3466)		300,000	200,000	100,000
Support of a study of the future of graduate education in New York State (B3507)	59,000		59,000	

*Appropriations and payments—United States*

Recipient and/or purpose	Appropriated during year	Unpaid appropriations at beginning of year	Paid during year	Unpaid appropriations at end of year
New York, State University of Development of new models of undergraduate education leading to external degrees (B3467)		\$428,570	\$214,290	\$214,280
Development of time-shortened baccalaureate degree programs (B3512, B3548)	\$518,440		295,104	223,336
New York University Research and writing on national health policy (X3448)		19,635	19,635	
North Carolina Central University Training of early childhood librarians (X3430)		80,000	40,000	40,000
Notre Dame University Summer institutes for teachers of philosophy from Catholic colleges (B3460)		48,000	48,000	
People's Medical Center Community health education program (B3559)	71,800		44,750	27,050
Philadelphia, School District of Field study of "dual audio television" (X3460)	14,930		14,930	
Pittsburgh, University of Fellowship program for mature women in the Graduate School of Public and International Affairs (B3539)	227,400		55,500	171,900
Princeton University Exploratory program in education and public affairs in the Woodrow Wilson School of Public and International Affairs (X3420)		51,500	51,500	
Support of the Commission on the Future of the College (X3421)		37,500	37,500	
Public Education Association Support (X3431)		70,000	40,000	30,000
Puerto Rican Legal Defense and Education Fund Support of its educational activities (B3556)	150,000		30,000	120,000
Radcliffe College For a feasibility study of a program to improve academic and career counseling for women college students (X3460)	13,000		13,000	
Ramah Navajo High School Program development and communications (X3411)		7,500	7,500	

*Appropriations and payments—United States*

Recipient and/or purpose	Appropriated during year	Unpaid appropriations at beginning of year	Paid during year	Unpaid appropriations at end of year
Rand Corporation				
Development of an agenda for educational research and development (X3441)		\$198,225	\$99,225	\$99,000
Assessment of the feasibility of a study of unusually effective schools (X3460)	\$15,000 *		15,000	
Rockefeller University				
Research on cultural factors in the development of learning abilities (B3516)	250,000		50,000	200,000
Rutgers University				
Support of seminars for state legislators conducted by the Eagleton Institute of Politics (B3521)	436,750		174,750	262,000
Study of collective bargaining in New Jersey public higher education (B3534)	102,000		52,000	50,000
Research and writing on women state legislators, under the auspices of the Center for the American Woman and Politics (X3460)	15,000		15,000	
San Francisco Unified School District				
Support of an Educational Equality/Quality program in two districts (B3454)		250,000	250,000	
Shimer College				
Support of an early entrance program (B3508)	150,000		47,000	103,000
Simmons College				
Development of a curriculum in home economics for mature students from poverty areas (X3315)		10,000	10,000	
Social Science Research Council				
Program development (B3418)		190,000	70,000	120,000
Fellowships and research grants (B3419)		330,000	110,000	220,000
Support of a Japanese-American seminar on the effects of social environments on early cognitive growth (X3460)	5,000 *		5,000	
Southern Association of Colleges and Schools				
Assistance to Negro colleges (B3477)		207,000	104,000	103,000
Stanford University				
Postgraduate program in medicine (B3491)		48,000	48,000	
Study of cognitive skills in beginning reading (X3460)	15,000		15,000	

*Appropriations and payments—United States*

Recipient and/or purpose	Appropriated during year	Unpaid appropriations at beginning of year	Paid during year	Unpaid appropriations at end of year
Student American Medical Association Foundation				
Program for change in medical education (B3492)		\$50,600	\$14,492 <sup>a</sup> 36,108	
Sun Valley Forum on National Health, Inc.				
Support of a symposium on health care (X3460)	\$5,000		5,000	
Teachers College, Columbia University Research on the history of American education (B3227)		46,000	30,000	\$16,000
Support of the Institute of Philosophy and Politics of Education (X3317)		33,000		33,000
History of the Information and Education Division of the United States Army under the auspices of the Institute of Philosophy and Politics of Education (X3460)	15,000		15,000	
Tennessee, University of				
Study for an area health education center (X3460)	12,500*		12,500	
Training and research in biomedical sciences for black college students and faculty (B3535)	232,600			232,600
Urban Institute				
Analysis of alternative approaches to state financing of education (B3561)	220,000		110,000	110,000
Vermont Regional Community College Commission, Inc.				
Program development and administrative support (B3570)	98,880		49,440	49,440
Voter Education Project, Inc.				
Support of a national youth voter education program (B3526)	250,000		150,000	100,000
Washington Research Project				
Support of activities concerned with public education (B3489)		84,750	84,750	
Washington, University of				
Completion of the international study of early childhood programs (B3506)	80,700		40,700	40,000
Wisconsin, University of				
Research and training in the history of tropical countries (X3083)		38,000		38,000
Wright Institute				
Development of a consulting and training program for college faculty members and administrators (X3460)	14,000		14,000	

*Appropriations and payments—United States*

Recipient and/or purpose	Appropriated during year	Unpaid appropriations at beginning of year	Paid during year	Unpaid appropriations at end of year
Yale University				
Support of the Behavioral Sciences Study Center (B3367)		\$100,785		\$100,785
Study of the relationship between thought and language in young children (B3504)	\$125,000		\$40,000	85,000
Exploration of the feasibility of a commission on children (B3528)	25,000		25,000	
Youth Citizenship Fund, Inc.				
Support of a national youth voter education program (X3462)	250,000		200,000	50,000
Youth Project, The				
Program of identification, support, and technical assistance for projects involving young people (B3555)	375,000		75,000	300,000
Studies and Programs Administered by the Officers				
Dissemination of results of Corporation grants (X3242, B3582)	50,000	20,015	8,621	61,394
Evaluation of results of Corporation grants (X3467)	25,000		23,984	1,016
Exploration of relations between the defense department and universities (X3411)		4,500		4,500
Health Education Program of the People's Medical Center, Evaluation of (X3460)	5,480			5,480
Meetings on health services and medical education (X3300)		12,402	6,857	5,545
Research and writing on changing nature of American government (B3243)		15,000		15,000
Study of independence and accountability in the contract state (B3355, X3433)		25,641	9,883	15,758
Support of Carnegie Council on Children (B3553)	400,000		65,000	335,000
Discretionary Fund (X3460)		100,000	b	
Total appropriated	15,096,881			
Less: Allocated from funds voted in previous year as shown (*) above	100,000			
Total (United States)	<u><u>\$14,996,881</u></u>	<u><u>\$10,908,268</u></u>	<u><u>\$13,787,483</u></u>	<u><u>\$12,117,666</u></u>

a Written off; included in total payments.

b \$100,000 allocated to individual institutions included in list.

*Appropriations and payments—Commonwealth*

Recipient and/or purpose	Appropriated during year	Unpaid appropriations at beginning of year	Paid during year	Unpaid appropriations at end of year
African-American Institute				
Travel in the United States and Canada by scholars and administrators from Africa (X3424)		\$75,500	\$75,500	
Evaluation of the African Scholarship Program of American Universities (X3461)	\$15,000		15,000	
African Social Studies Programme				
Support of workshops and seminars (X3452)		60,000	24,360	\$35,640
American Council on Education				
Support of the Overseas Liaison Committee (B3522) (see also page 88)	100,000		100,000	
Association of African Universities				
Support of workshop on Creating the African University (B3461)	10,000*			
5,000			15,000	
Botswana, Lesotho and Swaziland, University of				
Support of training and development activities of the Faculty of Education (B3550)	296,000			296,000
Chinese University of Hong Kong				
Conference of heads of universities in developing countries (X3412)		15,000	15,000	
Research on secondary school curriculum (X3461)	9,500		9,500	
Ghana, University of				
Support of a language center (X3358)		136,000	11,721	124,279
Guyana, University of				
Support of the Curriculum Development Unit (B3551)	170,000		50,000	120,000
Harvard University				
Research and training in human development in collaboration with University of Nairobi, Kenya (X3380) (see also page 92)		30,250		30,250
Lagos, University of				
Support of the Association for Teacher Education in Africa (B3523)	89,000		28,000	61,000
Support of the West African Council for Teacher Education (X3453)		12,500	12,500	
Makerere University, Kampala				
Support of the Association for Teacher Education in Africa (X3340)		89,000	89,000 <sup>a</sup>	
Support of a program of research, curriculum revision, and staff development for primary teacher training in Uganda (X3450)		215,000		215,000
Nairobi, University of				
Research and training in human development in collaboration with Harvard University (X3379)		63,000	63,000	
Development of the education library (B3248)		25,000	25,000	

*Appropriations and payments—Commonwealth*

Recipient and/or purpose	Appropriated during year	Unpaid appropriations at beginning of year	Paid during year	Unpaid appropriations at end of year
Nigeria, University of, Nsukka Support of a curriculum development and instructional materials resource center (X3451)		\$230,000	\$72,800	\$157,200
Science Education Programme for Africa Support of an experimental program of research and training in evaluation (B3552)	\$92,000		46,000	46,000
South Pacific, University of Support of regional educational activities (B3455)		69,000	69,000	
Support of an experimental program in communication by satellite in co-operation with the University of Hawaii (X3461)	15,000*		15,000	
Teachers College, Columbia University Fellowships for African educators (B3439)		155,000	70,000	85,000
Studies and Programs Administered by the Officers Evaluation of institutes of education in African universities (B3572)	58,000		19,250	38,750
Travel grants (X3190, X3310) <sup>d</sup>		16,978	7,978	9,000
Discretionary Fund (X3461)		25,000	e	
Total appropriated or allocated	859,500			
Less: Allocated from funds voted in previous year as shown (*) above	25,000			
Total (Commonwealth)	<u><u>\$834,500</u></u>	<u><u>\$1,217,228</u></u>	<u><u>\$833,609</u></u>	<u><u>\$1,218,119</u></u>

<sup>a</sup> Written off; included in total payments.

<sup>c</sup> \$25,000 allocated to individual institutions included in list.

<sup>d</sup> Commonwealth Program Travel Grants Data:

Unpaid appropriations at beginning of year	Paid during year	Not Needed	Unpaid appropriations at end of year
<i>General Travel Grant Funds:</i>			
Unpaid at beginning of year	\$2,872		
Refunds		(\$3,438)	3,340
<i>Payments not attributable to specific individuals</i>	\$51		
	8,000 <sup>a</sup>		
Unpaid at end of year			\$1,600
<i>Individual Grant Detail:</i>			
Gurzynski, Z. S.	1,800	1,800	
Kooy, Marcelle	2,600		2,600
Okigbo, B. N.	4,906	1,467	3,438
Uys, Stanley	4,800		4,800
	<u><u>\$16,978</u></u>	<u><u>\$11,318</u></u>	<u><u>\$3,340</u></u>
			<u><u>\$9,000</u></u>

<sup>a</sup> Written off; included in total payments.

*Adjustments of appropriations (United States)*

<i>Not required: written off (listed above)</i>	<i>\$19,492</i>
<i>Refunds from grants made in previous years</i>	
<i>1931-32 Scholarly Publication Fund (B915)</i>	<i>1,594</i>
<i>1955-56 Tulane University (X2658)</i>	<i>3,175</i>
<i>1965-66 University of Minnesota (X3168)</i>	<i>293</i>
<i>1966-67 Princeton University (X3201)</i>	<i>10,713</i>
<i>1966-67 Study of the Training of Medical Laboratory Technical Personnel (B3314)</i>	<i>88,023</i>
<i>1967-68 Columbia University (X3243)</i>	<i>2,144</i>
<i>1968-69 Study of the Governance of Greater London (X3300)</i>	<i>1,045</i>
<i>1969-70 Dartmouth College (B3445)</i>	<i>72,314</i>
<i>1969-70 Institute of International Education (X3354)</i>	<i>547</i>
<i>1969-70 Massachusetts Institute of Technology (B3447)</i>	<i>42,000</i>
<i>1969-70 Regional Plan Association (X3353)</i>	<i>27</i>
<i>1970-71 Association of American Universities (X3411)</i>	<i>1,897</i>
<i>1970-71 New College (X3411)</i>	<i>115</i>
<i>1970-71 Princeton University (X3420)</i>	<i>18,732</i>
<i>1971-72 Social Science Research Council (X3460)</i>	<i>120</i>
	<i><u>\$262,231</u></i>

*Adjustments of appropriations (Commonwealth)*

<i>Not required: written off (listed above)</i>	<i>\$97,000</i>
<i>Refunds from grants made in previous years</i>	
<i>1969-70 University of Zambia (X3354)</i>	<i>6,936</i>
	<i><u>\$103,936</u></i>

## Addresses of Grantees

### *Grantees—United States*

---

<b>Advisory for Open Education</b> 90 Sherman Street Cambridge, Massachusetts 02140	<b>Aspen Institute for Humanistic Studies</b> 717 Fifth Avenue New York, New York 10022
<b>African-American Institute</b> 866 United Nations Plaza New York, New York 10017	<b>Aspira, Inc.</b> 245 Fifth Avenue New York, New York 10001
<b>Alabama Center for Higher Education</b> 2121 Eighth Avenue North Birmingham, Alabama 35203	<b>Association of American Colleges</b> 1818 R Street, N.W. Washington, D. C. 20009
<b>American Association for Higher Education</b> One DuPont Circle, N.W. Washington, D. C. 20036	<b>Association of American Medical Colleges</b> One DuPont Circle, N.W. Washington, D. C. 20036
<b>American Association of Community and Junior Colleges</b> One DuPont Circle, N.W. Washington, D. C. 20036	<b>Association of the Bar of the City of New York</b> 42 West 44th Street New York, New York 10018
<b>American Bar Foundation</b> 1155 East 60th Street Chicago, Illinois 60637	<b>Beth Israel Hospital</b> 330 Brookline Avenue Boston, Massachusetts 02215
<b>American Council of Learned Societies</b> 345 East 46th Street New York, New York 10017	<b>Bluffton College</b> Bluffton, Ohio 43512
<b>American Council on Education</b> One DuPont Circle, N.W. Washington, D. C. 20036	<b>Bowling Green State University</b> Bowling Green, Ohio 43402
<b>American Sociological Association</b> 1722 N Street, N.W. Washington, D. C. 20036	<b>Brookings Institution</b> 1775 Massachusetts Avenue, N.W. Washington, D. C. 20036
	<b>Brookline, Public Schools of</b> Brookline, Massachusetts 02146

<b>California State University and Colleges</b> 5670 Wilshire Boulevard Los Angeles, California 90036	<b>The Circle, Inc.</b> 90 Warren Street Roxbury, Massachusetts 02119
<b>California State University, San José</b> San José State College Foundation San José, California 95114	<b>Citizens Conference on State Legislatures</b> 4722 Broadway Kansas City, Missouri 64112
<b>California, University of, Berkeley</b> Berkeley, California 94720	<b>Claremont University Center</b> Harper-East Claremont, California 91715
<b>California, University of, San Francisco</b> Third and Parnassus Streets San Francisco, California 94122	<b>Colgate University</b> Hamilton, New York 13346
<b>Carnegie Council on Children</b> 285 Prospect Street New Haven, Connecticut 06520	<b>College Entrance Examination Board</b> 888 Seventh Avenue New York, New York 10019
<b>Carnegie Endowment for International Peace</b> United Nations Plaza at 46th Street New York, New York 10017	<b>Colorado, University of, Medical Center</b> 4200 East Ninth Avenue Denver, Colorado 80220
<b>Carnegie Foundation for the Advancement of Teaching</b> 437 Madison Avenue New York, New York 10022	<b>Columbia University</b> New York, New York 10027
<b>Carnegie Institution of Washington</b> 1530 P Street, N.W. Washington, D. C. 20005	<b>Committee on Institutional Cooperation</b> 1603 Orrington Avenue Evanston, Illinois 60201
<b>Center for Advanced Study in the Behavioral Sciences</b> 202 Junipero Serra Boulevard Stanford, California 94305	<b>Community Council of Greater New York</b> 225 Park Avenue South New York, New York 10003
<b>Center for New Schools</b> 431 South Dearborn Avenue Chicago, Illinois 60605	<b>Cornell University</b> Ithaca, New York 14850
<b>Center for the Study of Public Policy</b> 1878 Massachusetts Avenue Cambridge, Massachusetts 02140	<b>Council for Philosophical Studies</b> University of Connecticut Storrs, Connecticut 06268
<b>Children's Hospital Medical Center</b> 300 Longwood Avenue Boston, Massachusetts 02115	<b>Council on Foreign Relations, Inc.</b> 58 East 68th Street New York, New York 10021
<b>Children's Television Workshop</b> One Lincoln Plaza New York, New York 10023	<b>Council on Foundations, Inc.</b> 888 Seventh Avenue New York, New York 10019
<b>Christian Action Ministry Academy</b> 3932 West Madison Street Chicago, Illinois 60624	<b>Council on Interracial Books for Children, Inc.</b> 29 West 15th Street New York, New York 10011
	<b>Day Care and Child Development Council of America, Inc.</b> 1401 K Street, N.W. Washington, D. C. 20005

<b>Denver Health Research Foundation, Inc.</b> West Sixth Avenue and Cherokee Denver, Colorado 80204	<b>Higher Education Compact</b> 142 West End Avenue New York, New York 10023
<b>Drug Abuse Council, Inc.</b> 1828 L Street, N.W. Washington, D. C. 20036	<b>Illinois, University of</b> Urbana, Illinois 61801
<b>Duke University</b> Durham, North Carolina 27701	<b>Institute for Services to Education</b> 2001 S Street, N.W. Washington, D. C. 20009
<b>Editorial Projects for Education</b> 1717 Massachusetts Avenue, N.W. Washington, D. C. 20036	<b>International Council for Educational Development</b> 522 Fifth Avenue New York, New York 10036
<b>Education Development Center, Inc.</b> 55 Chapel Street Newton, Massachusetts 02160	<b>Johns Hopkins University</b> Baltimore, Maryland 21218
<b>Educational Testing Service</b> Princeton, New Jersey 08540	<b>Law Students Civil Rights Research Council</b> 156 Fifth Avenue New York, New York 10010
<b>Far West Laboratory for Educational Research and Development</b> Hotel Claremont One Garden Circle Berkeley, California 94705	<b>Lawyers' Committee for Civil Rights Under Law</b> 733 Fifteenth Street, N.W. Washington, D. C. 20005
<b>Florida, University of</b> Gainesville, Florida 32601	<b>League of Women Voters Education Fund</b> 1730 M Street, N.W. Washington, D. C. 20036
<b>Foundation Center</b> 888 Seventh Avenue New York, New York 10019	<b>Manpower Institute</b> 1211 Connecticut Avenue, N.W. Washington, D. C. 20036
<b>Genesee Hospital</b> 224 Alexander Street Rochester, New York 14607	<b>Mary Holmes College</b> West Point, Mississippi 39773
<b>George Washington University</b> Washington, D. C. 20006	<b>Massachusetts Institute of Technology</b> Cambridge, Massachusetts 02139
<b>Georgia, University of</b> Athens, Georgia 30601	<b>Massachusetts, University of</b> Amherst, Massachusetts 01003
<b>Harvard University</b> Massachusetts Hall Cambridge, Massachusetts 02138	<b>Meharry Medical College</b> 1005 18th Avenue North Nashville, Tennessee 37208
<b>Health Resources Institute</b> 2220 Holmes Street Kansas City, Missouri 64108	<b>Metropolitan Applied Research Center, Inc.</b> 60 East 86th Street New York, New York 10028
<b>High/Scope Educational Research Foundation</b> 125 North Huron Street Ypsilanti, Michigan 48197	<b>Michigan, University of</b> Ann Arbor, Michigan 48104

- Minnesota Metropolitan State College**  
421 North Wabasha  
St. Paul, Minnesota 55102
- Montefiore Hospital and Medical Center**  
111 East 210th Street  
Bronx, New York 10467
- Nairobi College, Inc.**  
P. O. Box 278  
Palo Alto, California 94301
- National Academy of Education**  
Policy Institute  
723 University Avenue  
Syracuse, New York 13210
- National Academy of Sciences**  
2101 Constitution Avenue, N.W.  
Washington, D. C. 20418
- National Assembly for Social Policy and Development, Inc.**  
345 East 46th Street  
New York, New York 10017
- NAACP Legal Defense and Educational Fund, Inc.**  
10 Columbus Circle  
New York, New York 10019
- National Association for the Advancement of Colored People**  
1790 Broadway  
New York, New York 10019
- National Board of Medical Examiners**  
3930 Chestnut Street  
Philadelphia, Pennsylvania 19104
- National Catholic Educational Association**  
One DuPont Circle, N.W.  
Washington, D. C. 20036
- National Committee for Careers in the Medical Laboratory**  
9650 Rockville Pike  
Bethesda, Maryland 20014
- National Friends of Public Broadcasting**  
1345 Avenue of the Americas  
New York, New York 10019
- National Information Bureau**  
305 East 45th Street  
New York, New York 10017
- National Movement for the Student Vote, Inc.**  
43 Ivy Street, S.E.  
Washington, D. C. 20003
- National Municipal League**  
47 East 68th Street  
New York, New York 10021
- National Service Center for Health Science Studies**  
710 South Marshfield Street  
Chicago, Illinois 60612
- National Urban League, Inc.**  
55 East 52nd Street  
New York, New York 10022
- Native American Rights Fund**  
1506 Broadway  
Boulder, Colorado 80302
- Nevada, University of, Reno**  
Reno, Nevada 89507
- New Jersey State Department of Higher Education**  
Trenton, New Jersey 08625
- New York, City University of**  
1) City College  
Convent Avenue and 138th Street  
New York, New York 10031  
2) Queens College  
65-30 Kissena Boulevard  
Flushing, New York 11367
- New York Public Library**  
Fifth Avenue and 42nd Street  
New York, New York 10018
- New York State Education Department**  
Education Building Annex  
Albany, New York 12224
- New York, State University of**  
Albany, New York 12201
- New York University**  
Washington Square  
New York, New York 10003
- North Carolina Central University**  
Durham, North Carolina 27707
- Notre Dame University**  
Notre Dame, Indiana 46556
- People's Medical Center**  
2555 Middlefield Road  
Redwood City, California 94063

<b>Philadelphia, School District of</b> 21st Street, South of The Parkway Philadelphia, Pennsylvania 19103	<b>Stanford University</b> Stanford, California 94305
<b>Pittsburgh, University of</b> Pittsburgh, Pennsylvania 15213	<b>Student American Medical</b> <b>Association Foundation</b> 1400 Hicks Road Rolling Meadows, Illinois 60008
<b>Princeton University</b> Princeton, New Jersey 08540	<b>Sun Valley Forum on National</b> <b>Health, Inc.</b> P. O. Box 997 Sun Valley, Idaho 83353
<b>Public Education Association</b> 20 West 40th Street New York, New York 10018	<b>Teachers College, Columbia University</b> New York, New York 10027
<b>Puerto Rican Legal Defense and</b> <b>Education Fund</b> 2836 Third Avenue Bronx, New York 10455	<b>Tennessee, University of</b> Administration Building Knoxville, Tennessee 37916
<b>Queens College</b> See New York, City University of	<b>Urban Institute</b> 2100 M Street, N.W. Washington, D. C. 20037
<b>Radcliffe College</b> 10 Garden Street Cambridge, Massachusetts 02138	<b>Vermont Regional Community College</b> <b>Commission, Inc.</b> P. O. Box 81 Montpelier, Vermont 05602
<b>Ramah Navajo High School</b> Post Office Box 248 Ramah, New Mexico 87321	<b>Voter Education Project, Inc.</b> 52 Fairlie Street, N.W. Atlanta, Georgia 30303
<b>Rand Corporation</b> 1700 Main Street Santa Monica, California 90406	<b>Washington Research Project</b> 1823 Jefferson Place, N.W. Washington, D. C. 20036
<b>Rockefeller University</b> York Avenue and 66th Street New York, New York 10021	<b>Washington, University of</b> Seattle, Washington 98105
<b>Rutgers University</b> New Brunswick, New Jersey 08903	<b>Wisconsin, University of</b> Madison, Wisconsin 53706
<b>San Francisco Unified School District</b> 135 Van Ness Avenue San Francisco, California 94102	<b>Wright Institute</b> 2728 Durant Avenue Berkeley, California 94704
<b>Shimer College</b> Mount Carroll, Illinois 61053	<b>Yale University</b> New Haven, Connecticut 06250
<b>Simmons College</b> 300 The Fenway Boston, Massachusetts 02115	<b>Youth Citizenship Fund, Inc.</b> 2317 M Street, N.W. Washington, D. C. 20037
<b>Social Science Research Council</b> 230 Park Avenue New York, New York 10017	<b>Youth Project</b> 1000 Wisconsin Avenue, N.W. Washington, D. C. 20007
<b>Southern Association of Colleges</b> <b>and Schools</b> 795 Peachtree Street, N.E. Atlanta, Georgia 30308	

<b>African-American Institute</b> 866 United Nations Plaza New York, New York 10017	<b>Harvard University</b> Cambridge, Massachusetts 02138
<b>African Social Studies Programme</b> Post Office Box 44777 Nairobi, Kenya	<b>Lagos, University of</b> Yaba, Lagos Nigeria
<b>American Council on Education</b> One DuPont Circle, N.W. Washington, D. C. 20036	<b>Makerere University, Kampala</b> Post Office Box 7062 Kampala, Uganda
<b>Association of African Universities</b> Post Office Box 5744 Accra North, Ghana	<b>Nairobi, University of</b> Post Office Box 30197 Nairobi, Kenya
<b>Botswana, Lesotho and Swaziland, University of</b> Roma, Lesotho Southern Africa	<b>Nigeria, University of, Nsukka</b> Nsukka, Nigeria
<b>Chinese University of Hong Kong</b> Shatin, New Territories Hong Kong	<b>Science Education Programme for Africa</b> Post Office Box M. 188 Accra, Ghana
<b>Ghana, University of</b> Legon, Accra Ghana	<b>South Pacific, University of</b> Post Office Box 1168 Suva, Fiji
<b>Guyana, University of</b> Post Office Box 841 Georgetown, Guyana	<b>Teachers College, Columbia University</b> New York, New York 10027  (There were no travel grants for this fiscal year)

## The Carnegie philanthropies

Andrew Carnegie set out to give away \$300 million. He gave away \$311 million. Gifts to hundreds of communities in the English-speaking world helped to make his idea of the free public library as the people's university a reality. In all, 2,509 libraries were built with Carnegie funds. His endowment of the Carnegie Institute in Pittsburgh brought important educational and cultural benefits to the community in which he had made his fortune. From experience he knew the importance of science applied to commerce and industry, and he provided for technical training through the Carnegie Institute of Technology. By establishing the Carnegie Institution of Washington he helped to stimulate the growth of knowledge through providing facilities for basic research in science.

Mr. Carnegie set up the Carnegie Trust for the Universities of Scotland to assist needy students and to promote research in science, medicine, and the humanities. For the betterment of social conditions in his native town of Dunfermline, Scotland, he set up the Carnegie Dunfermline Trust. To improve the well-being of the people of Great Britain and Ireland, he established the Carnegie United Kingdom Trust.

In the United States, he created The Carnegie Foundation for the Advancement of Teaching, primarily as a pension fund for college teachers, and also to promote the cause of higher education. To work for the abolition of war, he established the Carnegie Endowment for International Peace. And to recognize heroism in the peaceful walks of life as being as worthy as valor in battle, he created funds in the United States, the United Kingdom, and nine European countries to make awards for acts of heroism. In contributing to the construction of the Peace Palace at The Hague, the Pan American Union building in Washington, and the Central American Court of Justice in Costa Rica, he further expressed his belief in arbitration and conciliation as substitutes for war.

In 1911, having worked steadily at his task of giving away one of the world's great fortunes, Mr. Carnegie created Carnegie Corporation of New York, a separate foundation as large as all his other trusts combined, to carry on his spirit and system of giving. The terms of this trust are broad: to promote the advancement and diffusion of knowledge and understanding among the people of the United States and certain parts of the Commonwealth. The Corporation was the culmination of his program of giving.

Each of the Carnegie agencies has its own funds and trustees. Each is independently managed, with the exception of The Carnegie Foundation for the Advancement of Teaching, which shares offices with Carnegie Corporation and has the same corporate officers.

The following statements are set forth in accordance with section 6056 of the United States Internal Revenue Code, pursuant to which this annual report has been prepared:

- Carnegie Corporation of New York (employer identification number 13-1628151) is a private foundation within the meaning of section 509 (a) of the Internal Revenue Code.
- The names and respective business addresses of the "foundation managers" of the Corporation are set forth in the front section of this annual report.
- No person who is a "foundation manager" with respect to the Corporation has made any contribution to the Corporation in any taxable year.
- At no time during the year did the Corporation (together with other "disqualified persons") own more than 2 percent of the stock of any corporation or corresponding interests in partnerships or other entities.
- Pursuant to section 6104 (d) of the Internal Revenue Code, a notice has been published that this annual report is available for public inspection at the principal office of the Corporation. Copies of this report have been furnished to the Attorney General of the State of New York.

December 13, 1972

ALAN PIFER, President

*Designed by Charles Curtis*

*Printed in the United States of America  
by Wm. F. Fell Co.  
Philadelphia*





